

## Annex [13]. Social and Environmental Screening Template

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](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

### Project Information

Project Information	
1. Project Title	Strengthening the Palau National Marine Sanctuary for the Conservation and Management of Global Marine Biodiversity and Sustainable Fisheries
2. Project Number	PIMS# 6418 (Project ID:00115622)
3. Location (Global/Region/Country)	Palau

### 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?**

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

The objective of the PNMS Project is to strengthen and implement a Strategic Plan for sustainable management of the PNMS and DFZ. The project builds on the existing efforts of Palau to conserve its renewable natural resources while adding significantly to the global MPA estate and providing a protected migratory route for globally important fish stocks as well as other non-commercial species and bycatch.

Human rights, as laid down in the Universal Declaration of Human Rights and other international human rights instruments, are not infringed by the project. The project interventions would on the longer-term help operationalize the Palau National Marine Sanctuary PNMS by protecting protect renewable and sustainable living marine resources which provide direct value and revenue to Palau. The Domestic Fishing Zone will provide long-term food security within Palau and protect important goods and services, increasing livelihoods and reducing pressure on reef fisheries. The project will promote greater participation and inclusion of important stakeholders including participation of women, as guided by a gender analysis and mainstreaming plan.

A stakeholder engagement plan (SEP) will ensure that the interests and priorities of the different stakeholder groups and sectors are considered during relevant phases of project development and implementation. It will also establishment grievance mechanisms. The stakeholder engagement plan adopts a Human Rights-Based Approach (HRBA) as used by UN agencies since 2003. The HRBA approach particularly emphasizes the need for a good understanding of the underlying structural causes of such problems so that effective and sustainable strategies for change can be identified<sup>1</sup>. The stakeholder engagement process to be undertaken during the Project will ensure that the HRBA approach is followed.

In order to ensure that there has been adequate free, prior and informed consent, an FPIC expert will be hired to support the inception workshop/phase by working with stakeholders and identifying the project activities that require FPIC (in line with the SES and national processes) and then establishing the processes for ensuring FPIC in those cases, including the preparation of an Indigenous Peoples Plan, if required.

A detailed risk assessment will also be a part of the Mid-Term Review when the Project will be required to review its risk assessment for effectiveness and gaps and to confirm/ensure adequate mitigation and management of environmental and social risks as identified through the UNDP Environmental and Social screening procedure. The MTR is required to validate whether the risks identified in the Project Document, Annual Project Review/PIRs and the Risk Management Log are the most important and whether the risk ratings applied are appropriate and up to date.

Through the various processes built into the risk management and the project monitoring and evaluation it will therefore be possible to identify any unforeseen risks and unintended consequences that might not have been captured at the Project Development, Validation or Inception stages and to adjust project activities through the appropriate adaptive management processes that a project of this nature is expected to undertake during its lifetime.

Through these processes it is expected that the FPIC process and requirements will be upheld by the project so that such FPIC is ensured and the consequences understood and agreed on all matters that may affect the rights and interest, lands, resources, territories and traditional livelihoods of the indigenous peoples of Palau, be they positive or negative in their effect. To this end, agreement has been sought and achieved with indigenous representatives on all Project activities to ensure that they do not adversely affect them but only provide positive changes and improvements.

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

<sup>1</sup> UN Evaluation Group (2012) Integrating Human Rights and Gender Equality in Evaluations, Guidance Document [www.uneval.org/document/download/1294](http://www.uneval.org/document/download/1294)

The Gender Analysis and Project Gender Mainstreaming Plan respond to GEF and UNDP guidance regarding gender mainstreaming in project development and implies that the needs, priorities, power structures, status, and relationship between men and women are identified and incorporated into the design, implementation, and evaluation of the project; in this way men and women can participate proportionally and benefit equally from the project intervention.

The goal of the gender mainstreaming is, on one hand, to improve the environmental results of the project; on the other hand, the goal is to promote gender equality and women's empowerment. To achieve this goal, a plan to incorporate gender into the project Strengthening the Palau National Marine Sanctuary for the Conservation and Management of Global Marine Biodiversity and Sustainable Fisheries has been designed, in which the following actions will be developed:

- Strengthen institutional capacities, improving the situation of equality between men and women and ensuring women's empowerment.
- Analyze the project's activities, as well as the direct and indirect benefits of the project related to gender.
- Support the equal participation of men and women in the project, especially at the decision- making level.
- Establish indicators that effectively help to measure progress towards gender equality.
- Recognition and expansion of the importance and role of women in marine production systems (fishing, tourism, etc.)
- Recognizing the interest of women to increase family income and develop sustainable production activities.
- Targeting and promoting women's interests and knowledge improvement in production processes and sustainable management of biodiversity, particularly through capacity building and training.

Numerous stakeholders including government representatives, local communities and civil society groups, NGOs, private sector, academic and research institutions are expected to participate in this project. Each would have specific roles, contributing to the realization of project objectives. To this extend, a Stakeholder engagement plan was developed during formulation phase. Two key principles of the stakeholder engagement plan specifically address gender:

- Participation:** Open representation and participation of stakeholders will be facilitated at all levels, from Government to local community members.
- **Gender equity:** Project design and implementation will be responsive to gender-sensitive considerations including the specific capacities and needs of women, the youth and marginalized/vulnerable groups.

The project log frame is inclusive of at least three gender sensitive indicators in particular:

- **Indicator 1:** Direct Project beneficiaries. End of project target -Approx 2,000 persons (600 women) from tourism sector, fisheries sector
- **Indicator 2:** Mandatory Indicator 2: Indirect Project beneficiaries. End of project target: 100% - Confirmation of overall beneficiaries from the GEF investment in this Project = 20,135 (overall population) with 45% women (9,014)
- **Indicator 8:** Number of staff (disaggregated by males and females) that have undergone training and built capacity on PNMS governance and management. End of project target: Minimum of 20 additional trained staff and government/state/community representatives (40% female) and 4 international mentors identified and directly involved in training and long-term support to PNMS and staff. End of Project Target: 14 Male; 10 Female

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

Component 3 focusses on Ecosystem Assessment and Financial Planning for a Long-term Sustainability Strategy for the Palau national Marine Sanctuary (PNMS). This will include identification and justification for improved management all ocean ecosystem goods and services, to strengthen and support the concept of ecotourism, to remove the threats to fish stocks in the EEZ and to make the PNMS financially sustainable. An assessment of ecosystem goods and services will inform a cost-benefit analysis focusing on the importance of ecotourism and associated sustainable livelihoods and a secure GDP and revenue source. This process will demonstrate a clear political logic and aim to garner full support for such a strategy at both the political level and the community level. This will further

support the requirement to identify and adopt a sustainable funding roadmap that supports a more 'blue economic' long-term strategy focusing on an ecotourism-based approach and thus supporting the PNMS and other protected areas within Palau. Integral to this process will be the need to communicate these issues and results and to raise awareness at all levels and with all stakeholders on the important long-term value of Palau's renewal biological resources.

This PNMS project will aim to understand the connectivity across the deeper waters and ecosystem(s) of the EEZ into the coastal area as well as focusing on food security and income/livelihood sustainability through the Domestic Fishing Zone and Artisanal fishing areas. The Component (4) dealing with knowledge Management will ensure close interaction between the two projects and any other closely related activities within the country.

The MSP will also assist Palau in establishing a Domestic Fishing Zone that will promote food security, increase livelihoods and reduce pressure on reef fisheries. The MSP will provide incremental funding specifically for i) capacity building and training of staff to support the management of the PNMS through ecosystem monitoring and subsequent adaptive management responses, ii) stakeholder negotiations to agree and adopt appropriate strategies and work-plans for delivering on management targets and performance, iii) developing and delivering an effective communications and awareness programme, iv) negotiating and advancing formal and informal partnerships and alliances (e.g. through in-country workshops plus attendance at relevant international meetings and conferences) in support of scientific data collection to support both the baseline and an adaptive management approach, v) identifying and securing sustainable funding through lobbying of donors as well as in-country measures, vi) undertaking a detailed assessment of ecosystem goods and services followed by a cost-benefit analysis of ecotourism options and strategies (including carrying capacity), vii) the subsequent development and adoption of a national blue economic strategy through broad stakeholder engagement that recognizes the value of conserving the marine ecosystem as a necessity to underwrite the long-term economic and financial sustainability of the country, viii) work closely with communities and local fisher stakeholders to develop and manage the Domestic Fishing Zone to the advantage of all Palauans, ix) improve the monitoring, control and surveillance of all activities within the EEZ, particularly through the provision of equipment and training to support an operations centre for MCS and x) catalyse negotiations with appropriate neighbouring countries on the demarcation of EEZ boundaries.

The Project further addresses the global environmental priorities through the Convention on Biological Diversity Aichi Target 11 – Protected Areas Increased and Improved which states that "By 2020, at least 17 per cent of terrestrial and inland water areas and 10 per cent of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscape and seascape". Part of the implementation rationale that the Aichi Target address is that 'the Ecosystem Approach should be applied considering ecological connectivity and the concept of ecological networks, including connectivity for migratory species. The PNMS will focus clearly on the connectivity of the coastal and offshore ecosystems and their interdependence and interaction, as well as the implications of such connectivity and of highly mobile and migratory species on the conservation and management roles at both the national and state government level.

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

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <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>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>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.</b>
Risk 1: Government officials do not have adequate monitoring and surveillance and capacity for compliance with regulations	I = 3 P = 3	Moderate	<p><b>Refer to Principle 1.5:</b>  <b>Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?</b></p> <p>Project preparation reveals that government entities are not currently capable of ensuring monitoring, control and surveillance of activities within PNMS and DFZ boundaries. This therefore remains as a potential risk during the project lifetime if appropriate measures are not taken or are found to be unsuccessful</p>	Project will equip operations room with equipment and hire staff to ensure its operational over 24 hours Monitoring program/schedule and operational plan will be developed and implemented. Project will liaise/collaborate with Forum Fisheries Agency and Western and Central Pacific Fisheries Commission Surveillance center. New technologies will be explored, including drones, E-monitoring and E -Reporting. The Project will support development and implementation of a Capacity Building and Training Program. Participation will include national government, state government, Non-Governmental Organizations and regional organizations.
Risk 2: Unequal participation and/interest of women in capacity building efforts supported through project	I = 3 P = 3	Moderate	<p><b>Refer to Principle 2.2:</b>  <b>Would the Project potentially reproduce</b></p>	Gender mainstreaming plan is developed and will be implemented during project life. Outcome 3.1 of gender mainstreaming action plan specifically focused on

			<p><b>discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</b></p> <p>If such discriminations occurred, it could lead to inadequate and/or unfair distribution benefits to women in communities</p>	<p>livelihood opportunities associated with the blue economy and increasing women participation in eco-tourism sector.</p> <p>Through the Stakeholder Analysis and consequent Engagement Plan, Project outputs will be implemented and delivered to optimize equality and gender mainstreaming, ensuring that men, women, youth and marginalized groups benefit adequately from capacity enhancement and effective participation in decisions related to resource management and livelihood support, as well as the distribution of benefits.</p>
<p>Risk 3: The project could cause Economic displacement/ by supporting/creating limited access to fishing grounds. Also addresses Partial economic displacement of indigenous peoples through access to resources</p>	<p>I = 3 P = 2</p>	<p><b>Moderate</b></p>	<p><b>Refer to Principle 1.3</b> <b>Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?.</b></p> <p>and</p> <p><b>Refer Standard 6.6:</b> <b>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?</b></p> <p>This has been rated as ‘Yes’ as there are marginal possibilities that there may be some unplanned and unforeseen impacts that could potentially cause economic</p>	<p>The Olbiil Era Kelulau (National Congress and Senate) has decreed that “protecting and preserving Palau’s environment is an essential part of Palau culture (the Bul system) and that this act (creating the PNMS and DFZ) will ensure that Palau’s natural wonders can be enjoyed for generations to come”.</p> <p>The PNMS is in itself a conservation measure which supports the tourism economy through a healthy marine environment and promotes long term food security for Palauans. In addition, spillover effects from the PNMS will also result in abundance of marine life into DFZ.</p> <p>The DFZ will provide long-term food security within Palau and protect important goods and services, increasing livelihoods and reducing pressure on reef fisheries.</p> <p>The Project Document has been reviewed discussed and agreed by the appropriate rights -holders and indigenous leaders through their customary decision-making process. This will be further confirmed and any newly-arising or previously overlooked risks and outcomes will be discussed and rectified/mitigated during the Inception Workshop and through a specific consultancy to review the SES process in line with FPIC and the potential need for an Indigenous People’s Plan.</p>

		<p>displacement, despite the fact that the project's objectives are entirely opposite to such eventualities</p> <p>Establishment of 80% of country's Exclusive Economic Zone as a National Sanctuary will reduce available fishing grounds/area only for Distant Water Fishing Nations. Local fishers have not and do not traditionally access these offshore areas and therefore do not risk economic displacement from them. The Sanctuary does NOT include the territorial waters where local fishers focus.</p> <p>The PNMS does not directly affect indigenous people who do not use these offshore waters. The indirect effects are expected to be positive in the context of protection/conservation of the ecosystem including connectivity from the EEZ into coastal waters</p> <p>The DFZ has been created specifically to allow local communities to expand their fisheries opportunities away from the coast and to target offshore pelagic fisheries and thereby protect livelihoods and food security. It also</p>	<p>The Project Document requires that the project should undertake a thorough Stakeholder Analysis and adopt an Engagement Plan (SEP) in order to ensure appropriate and adequate representation of all interested parties in the participatory work planned through the project. This SEP will take gender and social equity considerations into account. This stakeholder engagement plan(s) will also make strong provision for conflict management with different categories of user groups. Furthermore, and as defined in the SEP, the project will adopt the Human Rights-Based Approach (HRBA) as used by UN agencies since 2003. This requires that the problems and challenges faced by different stakeholders involved in or affected by project interventions and inequalities and discrimination patterns that occur in the area where the project is located are addressed from the beginning.</p> <p>Palau is divided into sixteen administrative regions, called states. Palau has both a tribal chiefdom and elected legislature in each municipality, The Project Steering Committee will include representation from civil society including State representation and further State representation will be encouraged within the stakeholder engagement process in reviewing project delivery and decision-making as is defined in the Stakeholder Engagement Plan (Annex 5). See Risk 8 below for further details of how indigenous peoples are engaged into Palau Government decision-making. The role of indigenous people and tribal government has now been better defined in the Project Document under the SEP.</p> <p>Through output 4.1.3, a communications and outreach awareness will be developed and implemented. This will include participation of indigenous communities and explain the benefits derived from the PNMS &amp; DFZ as well as linkages to their livelihoods.</p>
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			<p>allows a controlled amount of foreign fishing as long as those catches are landed in Palau to support the livelihoods of local communities and indigenous peoples who work in the processing and delivery industry.</p>	
<p>Risk 4: Closure of 80% of EEZ to commercial fishing places pressure on coastal ecosystems, particularly reefs</p>	<p>I = 3 P = 2</p>		<p><b>Refer to Standard 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?</b></p> <p>Closure of the PNMS to fishing plus strict control on the DFZ has reduced the presence of DWFN and the quantity of catch entering the Palauan market. This has temporarily created increased demand on coastal fisheries to fill the supply gap which, if maintained, could threaten the well-being of this coastal ecosystem and associated livelihoods and food security</p>	<p>The project itself is not responsible for these closures which were enacted in 2015. The aim of the project is to support the Palauan government and its people to properly manage and administer both the PNMS and the DFZ to meet their objectives while maintaining sustainability of livelihoods and food security yet preventing over-exploitation and removal of these resources for the benefit of other nations and the consequent loss to Palau and its communities and indigenous peoples.</p> <p>Such a temporary increase in pressure on coastal fisheries was expected and this is why the DFZ had been given such a high priority. Proper establishment of the DFZ, effective development of Palau’s own pelagic fishing fleet, and firm control over licensed DWFNs are high priorities for the project. One of the reasons for submitting a Medium Sized Project and not a Full Project was to fast-track this process in order to ensure that such increase in demand on coastal fisheries could be avoided and the DFZ would have been properly established. Regrettably, some hold-ups so far in submission and endorsement means that this has already started to become an issue and the Project will need to move quickly to reverse this situation.</p> <p>Component 1 aims to establish new fisheries management strategies and regulations for the DFZ and have these under implementation and actively enforced.</p>



			P rating given as 2 but more likely to be 1 if Project can implement soonest	These management plans will clearly define the purpose of the DFZ as a domestic fishery for the benefit of Palauans with due consideration given to subsistence fisheries versus commercial foreign licensed fisheries and strict control and regulation of the latter This will include a food security assessment made relating to the long-term management of the DFZ with an emphasis on state benefits as well as national community benefits. One of the Outputs will be Implementation and Delivery of a Capacity Building and Training Programme with early emphasis on establishing partnerships and support for a sustainable domestic offshore fishery
Risk 5: Illegal, unreported and unregulated fishing and illegal practices	I = 3 P = 2	<b>Moderate</b>	<p><b>Refer to Standard 1.7:</b> <b>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</b></p> <p>Illegal, unreported and unregulated fishing threatens to undermine the realization of the PNMS objectives and thus of project objectives e.g. PNMS fails as a replenishment 'no-take' zone &amp; PNMS systems not financial sustainability</p>	<p>One of the principle aims of the project is to build capacity and skills to address this both in-country and through partnership agreements.</p> <p>Components 1 and 2 will address these risks</p> <p>Components 1 focusses on institutional and governance realignment for effective monitoring and adaptive management within the PNMS and adjacent domestic fishing zone. In particular, outcome 1.1. ensure that the PNMS institutional, management and regulatory frameworks and mechanism are both strengthened and under implementation</p> <p>Component 2 focuses on enhanced monitoring, control and surveillance of activities within the established PNMS and DFZ zones. In particular, outcome 2.1 ensures that the regulations and laws pertaining to PNMS and DFZ are enforced effectively and sustainably</p>
Risk 6: Climate change having negative impacts on National Marine Sanctuary and food security in Domestic Fishing Zone	I=3 P= 3	<b>Moderate</b>	<p><b>Refer to Standard 2.2</b> <b>Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</b></p>	Ecosystems assessments facilitated under Component 3 will provide important data. This will provide a basis for appropriate amendments and reviews to plans and execution of activities/strategies as a process of adaptive management. Should the findings of ecosystem assessment warrant significant change to work plans, this will be discussed with technical experts as well as presented to the steering committee for decision making.

			<p>Potential stress from sea level rise, storm surges and increasing water temperature will be felt by ecosystems. This may cause habitat disturbance and displacement of marine species e.g. movement/pathways of migratory species like Tuna and reef fish which are important sources of proteins for Palauan's.</p>	<p>Some findings may not be significant and therefore the project implementation unit could facilitate necessary amendments as part of adaptive management.</p>
<p>Risk 7: Safety of staff in law enforcement &amp; compliance might be compromised.</p>	<p>I=2 P= 2</p>	<p><b>Low</b></p>	<p><b>Refer to Standard 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?</b></p>	<p>Through outcome 1.2, the project will implement a capacity building and training program over 5 years. This will be based on the training needs of stakeholders including those involved in surveillance and enforcement. Through outcome 2.1., the project will collaborate closely with regional agencies such as Parties to the Nauru Agreement and Forum Fishery Agency to effectively enforce laws of PNMS and DFZ. Electronic observer systems will be explored during implementation of project. In addition, its operations center is equipped with remote, satellite surveillance capabilities. The Project itself and its supporting activities will not be engaged in at-sea enforcement operations which would have inevitable safety concerns.</p> <p>Such security issues are a significant concern for UNDP in the context of human rights, appropriate wording has been included in the Project Document (under Management Arrangements) to confirm that such security and safety issues are not a threat in this Project.</p> <p>All of these Components provide support through the Project to capacity building and associated training for land-based surveillance and enforcement processes through the DMEL Operations Room and its interaction with air and sea support and enforcement services and the surveillance centre in the Solomon Islands. The Project</p>

				will NOT be supporting direct interaction between enforcement personnel and potential criminal activities.
Risk 8. Potential impacts on indigenous people (positive and/or negative) without their knowledge or consent.	I = 4 P = 2	<b>Moderate</b>	<p><b>Refer to Standard 6.1, 6.3, 6.6:</b></p> <p>The PNMS could potentially affect all persons in Palau if it were to have economic consequences. Culturally appropriate consultations have taken place inasmuch as the governmental system of Palau requires approval by the Congress and Senate which includes representation from the sixteen administrative regions and State ‘chiefs’ who represent the indigenous population and community. The project will ensure, at the earliest opportunity, that such consultations and consents are adequate and appropriate</p>	<p>Further assessment and management will be undertaken in the initial phase of project implementation, with the need for further FPIC and/or an Indigenous Peoples Plan (IPP) to be confirmed by an appropriately qualified consultant at the beginning of the project (Inception Phase)</p> <p>Free, Prior and Informed Consent has been a mainstay of the process for adoption of the Palau National Marine Sanctuary and this has continued into the project development process. This project has been specifically negotiated and designed in order to implement a law that was enacted following FPIC and IPP guidelines. Project Development itself included the formal involvement of and dialogues with the Council of Chiefs, the 16 Honourable Governors of the 16 States of Palau, including prior to and at the Project Validation Workshop. The Palau Ebiil Society was also engaged in the project development and in-country endorsement process. The Ebiil Society was founded to support the proper management of natural resources by and through indigenous peoples and using their knowledge.</p> <p>The Project itself will formally open with an Inception workshop which will also include the attendance of the Council of Chiefs and the 16 Governors as well as the many NGOs in the country (including the Ebiil Society). The Inception Workshop will, as expected, review the Risks and Risk Management Procedures as highlighted in the Project Document. An FPIC expert will be hired to support the inception workshop/phase by working with stakeholders and identifying the project activities that require FPIC (in line with the SES and national processes) and then establishing the processes for ensuring FPIC in those cases, and by preparing an Indigenous Peoples Plan, if required.</p>

				<p>The FPIC process would be undertaken and completed as early as possible, but definitely before any activities predicated on the granting of FPIC are initiated by the project and such activities would be placed on hold until the outcomes of the FPIC process are validated and any required mitigation measures are in place. Any subsequent consent required would need to be based on an objective view of the main activities of concern and to cover both the positive and negative potential of project activities, and the associated consequences of giving or withholding consent.</p> <p>Furthermore, during the lifetime of the Project, the annual Project Implementation Review Process will undertake Critical Risk Management review and assessment to ensure that the identified risks are being properly managed and that any newly-arising risks are identified and dealt with. To this effect, the project includes a detailed Risk Log (Annex 4) which describes the identified risks (effectively “what could go wrong” during the lifetime of the project which might pose a threat to the social and environmental sustainability and welfare of the peoples of Palau, The Risk Log identified the potential risk impact, probability, proposed mitigation measures, who would be responsible, and what the status is (i.e. at each point in the project’s monitoring and evaluation process).</p>
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
<b>Select one (see <a href="#">SESP</a> for guidance)</b>		<b>Comments</b>		
<i>Low Risk</i>	<input type="checkbox"/>			
<i>Moderate Risk</i>	<input checked="" type="checkbox"/>	Risks management will form an integral part of the project. They will be reviewed at the inception phase as well as throughout the life of project		
<i>High Risk</i>	<input type="checkbox"/>			

<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		
Check all that apply		Comments
<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>	Refer to principle 1, question 3 & question 5
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	Refer to principle 2 Question 2
<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input checked="" type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>	<input checked="" type="checkbox"/>	Refer to standard 2, question 2.2
<i>3. Community Health, Safety and Working Conditions</i>	<input checked="" type="checkbox"/>	Refer to standard 3, question 3.7
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input checked="" type="checkbox"/>	
<i>6. Indigenous Peoples</i>	<input checked="" type="checkbox"/>	Refer to Standard 6, Question 6.3
<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
QA Assessor FR		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		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		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

<b>Checklist Potential Social and Environmental Risks</b>		<b>Answer (Yes/No)</b>
<b>Principles 1: Human Rights</b>		
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?	No
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? <sup>2</sup>	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?	No
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?	No
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?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
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?	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? <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
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	Yes

<sup>2</sup> 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.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
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?	Yes
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? <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>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>3</sup> 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
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
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

<sup>3</sup> In regards to CO<sub>2</sub>, '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.]

3.3	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
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?	Yes
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
<b>Standard 4: Cultural Heritage</b>		
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
<b>Standard 5: Displacement and Resettlement</b>		
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? <sup>4</sup>	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
<b>Standard 6: Indigenous Peoples</b>		
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 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 the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	Yes

<sup>4</sup> 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.



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
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
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?	No
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?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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

Provide guidance on new project risks, and agree on possible mitigation and management actions to address specific risks; This guidance is provided in the Risk Log as Annexed to the Project Document