**UNDP Social and Environmental Screening Procedure**

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | Facilitating Cleaner and Energy Efficient Phosphate Chemicals Industry in China (PhosChemEE) Project |
| 1. Project Number (i.e. Atlas project ID, PIMS+) | PIMS 6618 |
| 1. Location (Global/Region/Country) | China, People’s Republic |
| 1. Project stage (Design or Implementation) | Design (ProDoc) |
| 1. Date | 16 June, 2022 |

**Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability**

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| **QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the project mainstreams the human rights-based approach*** |
| As in other UNDP-GEF projects, the PhosChemEE Project will be designed and implemented with a human-rights-based approach. This project will be based in the underdeveloped western regions of Yunnan, Guizhou, Sichuan, and Hubei, and will focus on promoting the economic and social welfare of local enterprises and communities. It is envisaged that as in the discussions with partner provincial governments, during the project design, consultations will be carried out with the local communities in selected areas where the demonstrations showcase the applications of green utilization technologies. The project will create employment opportunities and reduce poverty among the local communities through the potential phosphate mining with beneficiation technology applications, upgrade of existing phosphate chemical industry and new industry on the integrated processing of phosphate chemical byproducts such as phosphogypsum. The depletion of phosphogypsum stacks and reduction in phosphogypsum output in these regions will also reduce phosphogypsum-related pollutants’ adverse impact on local water and soil quality, directly and indirectly contributing to the local agricultural production, food security and public health. In the project development phase, local communities and enterprises would be involved in the consultation process on demonstration project design and new industrial layout. Such consultations will be a continuous process even during project implementation to ensure that the project activities, particularly the demonstrations seriously consider the welfare of indigenous peoples and all other residents of the communities. Full respect of the rights of local communities and according to UNDP Standard 6, an FPIC (“Free Prior Informed Consent”) will be carried out and documented according to UNDP requirements at each demonstration site. This work will be a part of site-specific environmental and social (“E/S”) assessments to be carried out for each demonstration on technology upgrading and solid waste utilization under the project. In the project implementation phase, professional training and education would be provided to local governments, enterprises and employees of the phosphate chemical industry, and new employment opportunities would be offered in advance to indigenous communities. Additionally, a grievance redress mechanism would be established to ensure that access to work opportunities is equitable and that any adverse environmental and social effects of industrial activities be addressed promptly. |
| ***Briefly describe in the space below how the project is likely to improve gender equality and women’s empowerment*** |
| The design of the proposed project will be guided by principles of gender equality and women’s empowerment. Women are involved in both the management and technical departments of China’s government agencies/institutions and play major roles in the top-level decision-making and strategic design process. On the ground level, the implementation of the proposed project will promote the welfare of and offer equal opportunities to both men and women, but particularly women in the underdeveloped regions. The design of the project activities will also consider further enhancing the role of women in the deployment of low carbon technologies and climate change mitigation options and come up with gender-sensitive policies in the resource sector and the downstream sectors of the country. Education and professional training would be provided in particular to local employees to improve women’s professional competitiveness in the workplace and expand women’s scope of employment in the underdeveloped and agriculture-based region. The detailed and confidential staff information database can be established based on big data analysis, which records both men's and women’s information on occupation, payment, etc. This will provide information for job mobility and welfare distribution in PCI enterprises following national gender-related law and good international practice. Additionally, qualified and capable women consultants/experts will be targeted to work in the implementation of the designed project.  The implementation of this project will, first, improve the technical level and reduce the intensity of labor in the mining and beneficiation technology as well as phosphate chemical industry, which will in turn improve women’s work environment, job adaptability and change of employment. Secondly, the implementation of this project will directly improve the quality of the local ecological environment and indirectly improve women's and children's health. Thirdly, implementation of this project will help ensure agriculture and food security through the reduction of rural pollution, and thus reduce the risk in women’s major source of income in these regions. |
| ***Briefly describe in the space below how the project mainstreams sustainability and resilience*** |
| The central mission of this project is to promote systematic sustainable transformation of China’s phosphate mining and chemical industry. This will be pursued through major top-level strategies: strengthening of low-carbon policy guidance on phosphate chemical industry, construction of low-carbon demonstration system, establishment of low-carbon development standard system, development of technology and equipment in mining and beneficiation sector, along with solid waste comprehensive utilization, implementation of low-carbon phosphate chemical technologies promotion action, and popularization of low-carbon education. The strategic mechanisms would improve the utilization of phosphate resource and mining area environment, reduce the energy consumption in production, promote waste utilization technology in the related areas, energy consumption, and solid waste output reduction will be facilitated in the phosphate chemical industry during and after implementation of the proposed project. The promotion of clean and low-carbon processes and technologies within the whole life cycle of phosphate chemical production, the integrated utilization of phosphogypsum, and the phosphate mine tailing production of phosphate fertilizers are three focus areas of the project’s carbon-emission reduction initiative. According to estimates, carbon emission reduction in phosphate mining can be at an average of 0.05 million tons of CO2eq per year; the annual emission reduction in phosphate chemical production is about 1.19 million tons of CO2eq, and the management of phosphate waste can reduce CO2eq emissions of approximately 5.93 million tons per year (including 4.97 million tons in the integrated use of phosphogypsum to produce cement, and 0.96 million tons in phosphate mine tailing to produce phosphate-containing biological fertilizers). In total, the phosphate chemical industry can form a carbon dioxide emission reduction capacity of 7.39 million tons/year, or 36.97 million tons CO2eq during the five-year project implementation period. As most of China’s phosphate mines and chemical production facilities are concentrated in Sichuan, Yunnan, Guizhou, Hubei and other Yangtze River main streams and upstream tributary areas, resulting in severe pollution of water resources in the upper and middle reaches of the Yangtze River, the project’s targeted implementation in the Yangtze Economic Belt would not only address environmental pollution and facilitate ecological repair, but also enhance environmental resiliency of the underdeveloped communities through job creation and poverty reduction in these ecologically fragile areas. |
| ***Briefly describe in the space below how the project strengthens accountability to stakeholders*** |
| The project will be designed and implemented guided by principles of accountability. This would naturally ensure constant engagement with stakeholders from design, implementation, and completion of the project. It is envisaged that the potential project-affected people will be informed of potential risks and UNDP’s Accountability Mechanism during the project design and further strengthened in the implementation process. The demos will support meaningful participation and inclusion of all stakeholders, in particular marginalized individuals and groups, in processes that may impact them including design, implementation and monitoring of the project. Provision of timely, accessible and functional information regarding supported activities, including potential environmental and social risks and impacts and management measures (SESP, ESMF) will be disclosed on UNDP China websites to ensure transparency of programming interventions. The Project Management Office (PMO) shall establish a project-level Grievance Redress Mechanism (GRM) during project inception. The full details of the GRM will be agreed upon during the project’s inception phase. The Mechanism (SRM) that ensures individuals, people, and communities affected by projects have access to appropriate grievance resolution procedures for hearing and jointly addressing complaints and disputes related to the social and/or environmental impacts of the proposed projects. Interested stakeholders may raise a grievance at any time to the PMO, the Executing Agency, the Implementing Agency (UNDP), or the GEF. A monitoring and evaluation procedure is also designed to ensure effective monitoring-and where appropriate, participatory monitoring with stakeholders—and reporting on implementation of social and environmental risk management measures. |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Complete SESP Attachment 1 before responding to Question 2.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5below before proceeding to Question 5* | | | | **QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High** | | |
| ***Risk Description***  ***(broken down by event, cause, impact)*** | ***Impact and Likelihood (1-5)*** | ***Significance***  ***(Low, Moderate Substantial, High)*** | ***Comments (optional)*** | | ***Description of assessment and management measures for risks rated as Moderate, Substantial or High*** | | |
| 1. The PhosChemEE Project (and most specifically Component 1 which focuses on the upstream Phosphate mining and refining sub-sector) could lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social, or cultural) of the affected population, including ethnic minorities and vulnerable/disadvantaged groups. This is most likely to occur under Outputs 1.2.2, 2.2.2 and 3.2.2.     Mining companies engaged in the project might not have the capacity and knowledge to uphold their duties as per UNDP SES requirements. This includes upholding duties and requirements on FPIC as per UNDP SES 6.  *Human Rights: P.3, P.4, P.5*  *Gender Equality: P.10:*  *Accountability: P.13, P.14*  *Standard 6: 6.1, 6.3, 6.4* | I = 5  L = 4 | High | This project will be based in the underdeveloped western regions of Yunnan, Guizhou, Sichuan, and Hubei.  Yunnan, Guizhou, Sichuan and Hubei have widespread minority cultures (that might trigger SES Standard 6), but factories are mainly located in industrialized regions where cultural heritage do not concentrate. PCI industries do not geographically overlap with indigenous settlements, though impacts (positive or negative) on such communities cannot be ruled out at this early stage of project design. | | In the design stage, the following safeguards documents have been prepared, covering this risk and all other risks, to meet the SES requirements of a **High risk** project:   * a stakeholder analysis and comprehensive Stakeholder Engagement Plan, * a gender analysis and Gender Action Plan, * an Environmental and Social Management Framework (ESMF) with initial FPIC procedures (to be applied if confirmed as required), * a Grievance Redress Mechanism (draft/outline).   The ESMF outlines the procedures for the (site-specific) Environmental and Social Impact Assessments (ESIAs) and Environmental and Social Management Plans (ESMPs) that will assess impacts directly related to the sphere of influence of the demo sites. These will be prepared during project implementation. To adequately assess impact from upstream/policy and strategy-level interventions (including potential cumulative impacts) the project shall undertake a Strategic Environmental and Social Assessment (SESA).  The design and implementation of the project are consistent with the strategic requirements of the country’s Law on ethnic unity and progress, which will ensure the enjoyment of the human rights of the potentially affected population in the demo places, especially ethnic minorities and/or vulnerable/disadvantaged groups.  During the implementation of the project, extensive consultations will also be conducted with local people with the cooperation of the MIIT, MNR and provincial government. | | |
| 1. During the construction of demo activities (Output 2.2.2), and in support to the mining and refining sectors (under Component 1), potential adverse impacts to habitats and/or ecosystems and ecosystem services (e.g. non-hazardous waste from phosphogypsum reuse) may occur.   *Standard 1: 1.1, 1.2., 1.3, 1.7, 1.11, 1.14*  *Standard 8: 8.1, 8.2, 8.3, 8.6* | I = 4  L = 3 | Substantial | The demos (i.e. outputs 1.2.2, 2.2.2, 3.2.2) may generate construction waste during the construction of supporting facilities or new facilities and generate non-hazardous waste from phosphogypsum reuse. These may have an impact on the surrounding environment that includes ecologically fragile areas. The proposed interventions may not be effective at the start and will continue or may even further negatively impact the surrounding ambient environment , bodies of what or land areas in the project areas. | | The project has been designed such that demos will involve the conduct of a detailed feasibility study and ESIA on the local area before the demo site selection, and a site-specific ESMP will be put in place before implementation of each demo.  The demos will be designed and constructed in accordance with national and international standards to ensure compliance with the SES and other relevant environmental ordinances/regulations, as outlined in the ESMF (and to be in the forthcoming ESIA/ESMPs). Additionally, the Project will observe the established regulatory framework for monitoring and assessing such risks that are aligned with the SES.  China has regulations on the engineer project site for the restoration and protection of biodiversity, and manufactories are not allowed to be established in or around ecosystem function zone. In this case, the PhosChemEE Project will ensure that the demo sites will be located far away from ecological reserves and ecologically vulnerable areas. | | |
| 1. Inadequate disposal of waste during the operation of the phosphogypsum processing reuse demo (I.e. Outputs 3.2.1 and 3.2.2) poses a threat to the environment as well as the health and safety of workers and the community.   The associated construction, operation, or decommissioning of the demo installations may have potential health and safety risks to local communities and workers due to the transport, storage, and use and/or disposal of any hazardous or dangerous materials (e.g. explosives, fuel and other chemicals) that may be used during construction and operation.  *Standard 1: 1.1, 1.2., 1.3, 1.7, 1.11, 1.14*  *Standard 3: 3.1, 3.2, 3.5, 3.6, 3.7*  *Standard 4: 4.2, 4.3*  *Standard 6: 6.1, 6.3*  *Standard 7: 7.1, 7.5, 7.6*  *Standard 8: 8.1, 8.2, 8.3, 8.6* | I = 4  L = 3 | Substantial | Specifically, if fluorine and arsenic contained in phosphogypsum are released into the atmosphere and soil environment, they will have adverse effects on surface/underground water plants and animals and produce health risks to local communities. | | The ESMF and subsequent ESIA and ESMP will address all health and safety risks. The required management measures will be included in site-specific ESMPs and be conducted before project construction. Per those forthcoming plans, appropriate training will be provided to the demonstration enterprises to ensure that risks are properly addressed and managed. Training will also be provided to local governments in order to enhance their regulation capacity to control potential risks in the demonstration. A Grievance Mechanism will be designed (see ESMF) and will be implemented by the project, allowing communities and workers to request for interventions when facing issues with health and safety risks.  The associated construction, operation, or decommissioning of the demo installations will strictly comply with the national standards[[1]](#footnote-1) and international general standards on construction and waste management, as noted in the ESMF*.* Site-specific environmental and social assessments will be conducted for each demo to identify the critical health and safety risks. Where public access is available, appropriate engineering and administrative controls (e.g., detours, traffic calming, signs) will be considered and implemented in advance during the construction and operation of demos.  All contractors (i.e., undertaken engineering and infrastructure works as part of the project) will be required to develop, submit and adhere to a Labour Management Plan that meets the requirements of both UNDP SES 7 and relevant national/host country law and regulation.  Appropriate training will be provided to workers to ensure that they install and operate the installed system correctly and safely, and properly control and manage the release or disposal of waste. Training will also be provided to local governments in order to enhance their regulation capacity to control potential risks in the demonstration. This will minimize or avoid any community health risks and safety issues for the communities regarding construction work involved in the installation of the demos, and the minimization and management of waste generated from these demos (e.g., explosives, fuel and other chemicals). | | |
| 1. The potential outcomes of the PhosChemEE Project will be sensitive or vulnerable to potential impacts of climate change. Yunnan, Sichuan, Guizhou, and Hubei, where the demos are located, have risks of extreme weather that are exacerbated by climate change. Thus, some of the demonstration activities of the project (located outdoors) can be impacted by weather events   *Standard 2: 2.2, 2.3, 2.4*  *Standard 3: 3.1* | I = 3  L = 3 | Moderate | Some that are sheltered may also be impacted by such climate change-aggravated weather events that can cause extreme heat during summers or maybe flooding during rainy seasons. | | The ESIAs (as required and outlined in the ESMF) will assess activities for impact and sustainability within China national context, including its climatic vulnerability and associated impacts.  The design of the demo will take climate-related events and risks into consideration by utilizing the findings of the risk assessment that shall be conducted as part of the ESIAs. environment risk assessment. Appropriate measures will be taken based on the specific climate-related events. For instance, the adverse impact of flood on demos can be eliminated by constructing diversion ditches, while sunshade roofs and cooling spray can reduce the impact of extreme high temperatures.  The demos will also cover climate risk adaptation capacity building through training workshops (Activities 1.2.2.3, 2.2.2.2, 3.2.2.3). This training will be provided to the demo companies and local governments to enhance their capacities to deal with extreme climate events in general. Depending on the extent of the impacts of the adverse climate-related events, appropriate modifications in the installations (and budget) will be done. Potential reduction in the number of installations, or replacement with alternative demos will be done while considering the need to ensure the resulting interventions are still contributing to the realization of the project outcomes. | | |
| 1. The Project includes activities both downstream/physical activities (like phosphogypsum processing), as well as upstream/policy-level interventions that require/could lead to significant consumption of raw materials, energy, and/or water; and involves significant extraction, diversion or containment of surface and/or ground water. That resource use, if not designed or implemented well, could lead to adverse impacts on ambient conditions in the project area and area of influence.   *Standard 1: 1.1, 1.2., 1.3, 1.7, 1.11, 1.14*  *Standard 8: 8.1, 8.2, 8.3, 8.6* | I = 4  L = 3 | Substantial | Phosphate chemicals production, as well as phosphogypsum processing consume significant amounts of water. Existing processes are energy inefficient, have considerable material losses, and wastewater generation. While the project will promote cleaner and more energy efficient phosphate chemicals production and processing of phosphogypsum that will either reduce or optimize the use of water, more processing of phosphogypsum may increase the water demand, and depending on where water is sourced, can result in significant extraction, diversion or containment of surface and/or groundwater. | | Per the ESMF, the ESIA and ESMP will define the management measures for this risk. In the design of demos, life-cycle analysis (LCA) will be conducted before each industrial process to assess the raw materials, energy, and water used in new technologies and evaluate the potential of resource conservation. Based on LCA assessments, the project will be designed to seek cleaner and more energy-efficient phosphate chemicals production and processing of phosphogypsum.  International practice for water and energy conservation will be applied in demos, especially the wastewater management and reuse technologies. Emergency accident pools will be designed in each demo in accordance with the requirement of contamination avoidance. Additionally, the demos will establish the resource efficiency monitoring mechanism, including using benchmarking data to the relative level of efficiency and reporting water and energy consumption periodically. This will ensure that the new and advanced technologies of phosphate chemicals production and phosphogypsum processing will reduce or optimize resource consumption, so that the project’s water consumption does not have significant adverse impacts on communities, other users or the environment and ecosystems. The potential for cumulative impacts relating to water and energy consumption will also be assessed in the project’s SESA. | | |
| 1. The PhosChemEE Project result in significant greenhouse gas emissions or may exacerbate climate change due to massive energy consumption in phosrock mining and refining, and in phosphate chemicals production.   *Standard 2: 2.3, 2.4*  *Standard 8: 8.6* | I = 4  L = 3 | Substantial | Improving the efficiency of energy usage in phosrock mining and refining, and in phosphate chemicals production will reduce energy consumption and reduce GHG emissions. Increased processing of phosphogypsum can be made energy efficient but will make use of extra energy that will bring about extra GHG emissions (unless the energy source is renewable). | | As per the project’s ESMF, this risk area will be included within the scope of the ESIAs/ESMPs (for demo site related impacts) and the project’s SESA for upstream and cumulative STnadard2 related impacts.  LCA method will be conducted before project construction during the design of the demonstrations to identify potential project-related increases in GHG emissions that may exacerbate climate change. And then the potential sources of emissions related to project activities will be estimated to form a baseline for developing measures to reduce such emissions.  The PhosChemEE Project aims to enable the extensive application of low carbon and energy-efficient technologies in the phosphate chemicals industry in China. To mitigate the potential increment of GHG emissions, the demos will apply these three solutions. First, the demos will promote the new, advanced and energy-efficient technologies, which will directly reduce emissions in phosphate ore processing and phosphorus chemical production. Second, Yunnan, Guizhou, Sichuan and Hubei, where the demos sites are located are rich in renewable energy resources. This will offset the potential extra GHG emissions from the overconsumption of energy induced by the new technologies. Lastly, most of the demos will follow the principle of circular economy, including avoiding waste discharge, promoting the recycling and reusing of waste. Such measures will reduce the indirect emissions from intermediate material production and waste management. Additionally, GHG emissions of demos will be tracked and reported in accordance with provisions of the UNFCCC and GHG minimization measures are implemented. | | |
| 1. Upstream project activities (primarily Outputs 1.1.1, 1.1.2, 2.1.1, 2.1.2, , 2.1.6, 2.2.4, 2.2.5, 3.1.1, and 3.1.2,) could result in adverse impacts to the local communities and the receptor environment if project-supported policy initiatives are not adequately screened and assessed.   China accounts for more than 80% of the world's total production capacity of Phosphate. As such, the project could inadvertently lead to issues of global and/or cumulative environmental concern if not managed adequately  *All SES Principles and Standards* | I-5  L-3 | Substantial | Given the scope of the project, upstream activities are likely to have SES-related impacts associated with them.  In addition, China’s position as the main source of Phosphate production, potential SES-impacts could result in issues of global/cumulative concern. | | The project will undertake the conduct of a SESA that shall cover all upstream activities, and those with potential cumulative impact related implications. Activities that will fall under the scope of the SESA include (but are not limited to): Outputs 1.1.1, 1.1.2, 2.1.1, 2.1.2, , 2.1.6, 2.2.4, 2.2.5, 3.1.1, and 3.1.2,) | | |
| 8. The phosphogypsum processing and reuse demos have been planned to be implemented in the existing facility. Legacy pollution issues may exists that have on-going environmental impacts which will have to be managed in line with UNDP SES requirements.  *Standard 8: 8.1, 8.2, 8.3, 8.6* | I-4  L-2 | Moderate | The phosphogypsum processing and reuse demo is mainly implemented in the existing facility. However | | The site-specific ESIAs will include an assessment of historical pollution/legacy issues at demo sites which are being planned for existing facilities. Any historical/legacy pollution issues that are deemed to have on-going environmental concerns will be remediated and managed within the framework of the site-specific ESMPs that are to be developed as well. | | |
| 9. There is the possibility, that through some possible changes to the use of lands and resources in the phosphogypsum processing and reuse demo outputs of the project, access restrictions/economic displacement may occur as a result of indirect impacts emanating from the project’s interventions.  *Standard 5: 5.4* | I-4  L-2 | Moderate | The project may in directly lead to changes in land use/tenure status for affected populations. | | Any access restrictions/economic displacement related issues are likely to occur only as an indirect result of project supported activities. However, SES5 related impacts cannot be ruled out at this stage of the project preparation.  SES5 related risks will be assessed in detail at both a demonstration level (via the conduct of site specific ESIAs) and at a policy/upstream level (through the conduct of the project’s SESA). Any impacts identified shall be managed through the relevant avenues. IF adverse SES5 related impacts are identified, then necessary SES tools may be required to be undertaken (this could include a Livelihood Action Plan, Land Acquisition Action Plan etc.). | | |
|  | **QUESTION 4: What is the overall project risk categorization?** | | | | | | |
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| ***Low Risk*** | | | **☐** |  | | |
| ***Moderate Risk*** | | | **☐** |  | | |
| ***Substantial Risk*** | | | **☐** |  | | |
| ***High Risk*** | | | **√** | The overall risk is High. An ESMF has been prepared during the PPG stage to ensure that the necessary steps are taken to assess and manage both (i) the site-specific risks during implementation (during which site-specific assessments and management plans will be required), and (ii) upstream/policy-level interventions that may result in adverse impacts (including cumulative impacts) through the conduct of a SESA. | | |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)** | | | | | | |
| Question only required for Moderate, Substantial and High Risk projects | | | | | | |
| ***Is assessment required? (check if “yes”)*** | | | **√** |  |  | ***Status? (completed, planned)*** |
| *if yes, indicate overall type and status* | | |  | **√** | Targeted assessment(s) | Completed: stakeholder analysis, gender analysis  Planned: LCA |
|  | **√** | ESIA (Environmental and Social Impact Assessment) | Site specific ESIAs (Planned) |
|  | **√** | SESA (Strategic Environmental and Social Assessment) | Planned |
| ***Are management plans required? (check if “yes)*** | | | **√** |  |  | |
| *If yes, indicate overall type* | | |  | **√** | Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) | Completed: Gender Action Plan, Stakeholder Engagement Plan has been completed  Planned:  Labor Management Plans |
|  | **√** | ESMP (Environmental and Social Management Plan which may include range of targeted plans) | Site specific ESM (Planned) |
|  | **√** | ESMF (Environmental and Social Management Framework) | Completed |
| ***Based on identified risks, which Principles/Project-level Standards triggered?*** | | |  | **Comments (not required)** | | |
| ***Overarching Principle: Leave No One Behind*** | | |  |  | | |
| ***Human Rights*** | | | **√** | Risk 1 | | |
| ***Gender Equality and Women’s Empowerment*** | | | **√** | Risk 1 | | |
| ***Accountability*** | | | **√** | Risk 1 | | |
| ***1. Biodiversity Conservation and Sustainable Natural Resource Management*** | | | **√** | Risk 2  Risk 3  Risk 5  Risk 7 | | |
| ***2. Climate Change and Disaster Risks*** | | | **√** | Risk 4  Risk 6  Risk 7 | | |
| ***3. Community Health, Safety and Security*** | | | **√** | Risk 4  Risk 4  Risk 7 | | |
| ***4. Cultural Heritage*** | | | **√** | Risk 1  Risk 7 | | |
| ***5. Displacement and Resettlement*** | | | **√** | Risk 7  Risk 9 | | |
| ***6. Indigenous Peoples*** | | | **√** | Risk 1  Risk 3  Risk 7 | | |
| ***7. Labour and Working Conditions*** | | | **√** | Risk 3  Risk 7 | | |
| ***8. Pollution Prevention and Resource Efficiency*** | | | **√** | Risk 2  Risk 3  Risk 5  Risk 6  Risk 7  Risk 8 | | |

**Final Sign Off**

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

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| ***Signature*** | ***Date*** | ***Description*** |
| QA Assessor |  | 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

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| **Checklist Potential Social and Environmental Risks** |  |
| INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the [SES toolkit](https://info.undp.org/sites/bpps/SES_Toolkit/Pages/Homepage.aspx) for further guidance on addressing screening questions. |  |
| **Overarching Principle: Leave No One Behind**  **Human Rights** | **Answer  (Yes/No)** |
| P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)? | No |
| P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project? | No |
| P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights? | Yes |
| Would the project potentially involve or lead to: |  |
| P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | Yes |
| P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [[2]](#footnote-2) | Yes |
| P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities? | No |
| P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| **Gender Equality and Women’s Empowerment** |  |
| P.8 Have women’s groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)? | No |
| Would the project potentially involve or lead to: |  |
| P.9 adverse impacts on gender equality and/or the situation of women and girls? | No |
| P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | Yes |
| P.11 limitations on women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  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 | No |
| P.12 exacerbation of risks of gender-based violence?  For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc. | No |
| **Sustainability and Resilience:** Screeningquestions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below |  |
| **Accountability** |  |
| Would the project potentially involve or lead to: |  |
| P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them? | Yes |
| P.14 grievances or objections from potentially affected stakeholders? | Yes |
| P.15 risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project? | No |
| **Project-Level Standards** |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| Would the project potentially involve or lead to: |  |
| 1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes | Yes |
| 1.2 activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | Yes |
| 1.3 changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | Yes |
| 1.4 risks to endangered species (e.g. reduction, encroachment on habitat)? | No |
| 1.5 exacerbation of illegal wildlife trade? | No |
| 1.6 introduction of invasive alien species? | No |
| 1.7 adverse impacts on soils? | Yes |
| 1.8 harvesting of natural forests, plantation development, or reforestation? | No |
| 1.9 significant agricultural production? | No |
| 1.10 animal husbandry or harvesting of fish populations or other aquatic species? | No |
| 1.11 significant extraction, diversion or containment of surface or ground water?  For example, construction of dams, reservoirs, river basin developments, groundwater extraction | Yes |
| 1.12 handling or utilization of genetically modified organisms/living modified organisms?[[3]](#footnote-3) | No |
| 1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[[4]](#footnote-4) | No |
| 1.14 adverse transboundary or global environmental concerns? | Yes |
| **Standard 2: Climate Change and Disaster Risks** |  |
| Would the project potentially involve or lead to: |  |
| 2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions? | No |
| 2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?  For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes | Yes |
| 2.3 increases in [vulnerability to climate change](#CCVulnerabilityGlossary) impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?  For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding | Yes |
| 2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change? | Yes |
| **Standard 3: Community Health, Safety and Security** |  |
| Would the project potentially involve or lead to: |  |
| 3.1 construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams) | Yes |
| 3.2 air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation? | Yes |
| 3.3 harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)? | No |
| 3.4 risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health? | No |
| 3.5 transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | Yes |
| 3.6 adverse impacts on ecosystems and ecosystem services relevant to communities’ health (e.g. food, surface water purification, natural buffers from flooding)? | Yes |
| 3.7 influx of project workers to project areas? | Yes |
| 3.8 engagement of security personnel to protect facilities and property or to support project activities? | No |
| **Standard 4: Cultural Heritage** |  |
| Would the project potentially involve or lead to: |  |
| 4.1 activities adjacent to or within a Cultural Heritage site? | No |
| 4.2 significant excavations, demolitions, movement of earth, flooding or other environmental changes? | Yes |
| 4.3 adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect, and conserve Cultural Heritage may also have inadvertent adverse impacts) | Yes |
| 4.4 alterations to landscapes and natural features with cultural significance? | No |
| 4.5 utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| Would the project potentially involve or lead to: |  |
| 5.1 temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)? | No |
| 5.2 economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 risk of forced evictions?[[5]](#footnote-5) |  |
| 5.4 impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | Yes |
| **Standard 6: Indigenous Peoples** |  |
| Would the project potentially involve or lead to: |  |
| 6.1 areas where indigenous peoples are present (including project area of influence)? | Yes |
| 6.2 activities located on lands and territories claimed by indigenous peoples? | No |
| 6.3 impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk | Yes |
| 6.4 the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | Yes |
| 6.5 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?  Consider, and where appropriate ensure, consistency with the answers under Standard 5 above | No |
| 6.7 adverse impacts on the development priorities of indigenous peoples as defined by them? | No |
| 6.8 risks to the physical and cultural survival of indigenous peoples? | No |
| 6.9 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?  Consider, and where appropriate ensure, consistency with the answers under Standard 4 above. | No |
| **Standard 7: Labour and Working Conditions** |  |
| Would the project potentially involve or lead to: (note: applies to project and contractor workers) |  |
| 7.1 working conditions that do not meet national labour laws and international commitments? | Yes |
| 7.2 working conditions that may deny freedom of association and collective bargaining? | No |
| 7.3 use of child labour? | No |
| 7.4 use of forced labour? | No |
| 7.5 discriminatory working conditions and/or lack of equal opportunity? | Yes |
| 7.6 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle? | Yes |
| **Standard 8: Pollution Prevention and Resource Efficiency** |  |
| Would the project potentially involve or lead to: |  |
| 8.1 the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)? | Yes |
| 8.2 the generation of waste (both hazardous and non-hazardous)? | Yes |
| 8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals? | Yes |
| 8.4 the use of chemicals or materials subject to international bans or phase-outs?  For example, DDT, PCBs and other chemicals listed in international conventions such as the [Montreal Protocol](https://ozone.unep.org/treaties/montreal-protocol?q=treaties&q=treaties/montreal-protocol), [Minamata Convention](http://www.mercuryconvention.org/), [Basel Convention](http://www.basel.int/), [Rotterdam Convention](http://www.pic.int/), [Stockholm Convention](http://chm.pops.int/) | No |
| 8.5 the application of pesticides that may have a negative effect on the environment or human health? | No |
| 8.6 significant consumption of raw materials, energy, and/or water? | Yes |

1. Including Standard for pollution control on hazardous waste storage, Standard for pollution control on hazardous waste storage, etc. [↑](#footnote-ref-1)
2. Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people. [↑](#footnote-ref-2)
3. See the [Convention on Biological Diversity](https://www.cbd.int/) and its [Cartagena Protocol on Biosafety](https://bch.cbd.int/protocol). [↑](#footnote-ref-3)
4. See the [Convention on Biological Diversity](https://www.cbd.int/) and its [Nagoya Protocol](https://www.cbd.int/abs/) on access and benefit sharing from use of genetic resources. [↑](#footnote-ref-4)
5. Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights. [↑](#footnote-ref-5)