

# Social and Environmental Screening Template

## Project Information

<b>Project Information</b>	
1. Project Title	Bosnia and Herzegovina “Scaling-up Investment in Low-Carbon Public Buildings “
2. Project Number	
3. Location (Global/Region/Country)	Bosnia and Herzegovina

## 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 project will build on the general UNDP's approach on mainstreaming human rights through universality and inalienability; indivisibility; inter-dependence and inter-relatedness; equality and non-discrimination; participation and inclusion; accountability and rule of law.

In practice, this project will facilitate communities' - including vulnerable people, access to equitable service delivery, by extending and deepening participation with special emphasis on women participation, ensuring local ownership of development processes and strengthening accountability of all actors. The project will also support duty bearers in public sector to improve the delivery of services to communities (e.g. by a set of capacity building interventions that will improve skills and competencies to design, implement and operate integrated fuel switch interventions and improved local design of programmes and policies)

The project will specifically respond to the need of a paradigm shift towards low emission climate resilient development pathways in the context of sustainable development, where no one is left behind.

In addition to contributing to global environmental benefits by reducing the GHG emission by 152,000 tons per year through scaling up the investments in climate smart buildings, the project will improve the access of local communities, including vulnerable communities, to clean, safe and affordable energy by safeguarding their rights to health and a clean environment: firstly, the retrofitted public buildings will provide improved occupancy conditions, affordable clean, adequate warmth in schools and hospitals and improved air quality. Secondly, by extending activities to flood prone areas, the project will facilitate access to resilient public infrastructure which proves critical when disaster strikes, as these public buildings are often switched to public shelters during emergencies. Last but not least, leveraging additional financing for energy efficiency measures in public buildings will create green inclusive job opportunities. The potential of job creation is estimated by a 2016 study (annexed to this proposal) which shows that the retrofitting of 34 buildings (total heated floor area of 77,100 square meters) resulted in a total 727,019 working hours, representing approximately 322 full time equivalent (FTE) jobs.

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

Bosnia and Herzegovina's (BiH) legislative and policy framework has enabled important legal steps in promoting gender equality, reducing domestic and any gender-based violence and increasing institutional coordination to mainstream gender. However, a genuinely enabling environment requires a sharper focus on implementation of all policy instruments and a corresponding shift of paradigm from equality of rights to equality of results. BiH Agency for Statistics (2016) shows the lowest economic activity rate of women in the region, with only 33% of the working age women being economically active. The overall high levels of unemployment among women in BiH exacerbate economic dependency of women and diminish their role in public life.

The project's Technical Assistance component, will seek to promote women participation in the capacity buildings and awareness raising through dedicated focus on gender specific initiatives, by:

- i) providing training to women representative of municipal/cantonal staff in preparing and implementing climate smart programmes, projects and plans; operationalisation of energy information systems and its use in the prioritisation of climate smart solutions for buildings;
- ii) providing training for private sector, encouraging and facilitating women entrepreneurs' participation in the development of new/green markets (e.g biomass; (R)ESCO)
- iii) creating opportunities for improved access of women to information and investments in energy efficiency measures;
- iv) training women to take up specific jobs with focus on clean energy development, energy audits, flood resilience in building sector etc.

The project will provide market education and awareness to the public but especially to women about the positive effects on children's health and safety of the retrofitted schools and hospitals and will seek to engage with NGO's including women organisations to become agents of change and promote the positive results of the energy efficiency measures in terms of environmental, social and economic benefits.

The project's Investment component, will use gender-equality criteria for project selection, each of the projects submitted for funding would have to describe their impact on

both women and men.

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

The project design has been led by the precautionary approach to natural resource conservation preventing any threats of environmental degradation as a result of project interventions. While the project is addressing critical urban development issues such as urban infrastructure resilience, job creation and access to sustainable energy sources, the Investment component will contribute to the implementation of the country's national and international GHG reduction targets aligned with environmental, social and economic safeguards.

More specifically, the proposed project will use a financing scheme to finance low-carbon retrofits in buildings meeting technical, socio-economic and environmental requirements. The targeted buildings will likely entail administrative buildings, children care facilities, elderly care facilities, schools and kindergarten, hospitals, healthcare centres, municipality buildings. The cumulative impact of environmental, social and economic benefits will be realised through energy efficiency works entailing refurbishments of: outer walls, windows, window doors and roof windows, glazing, outside doors, doors separating heated space from unheated stairs, roofs. The measures will include: (i) Insulation of the outer walls, of the cavities beneath the windows and of the roof (ii) Heating system replacement with biomass-based boilers (or other suitable RE-based systems) (iii) Thermostatic valves for the heating system (iv) Hydraulic balance valves for the heating system (v) Improved energy management.

The associated environmental impacts, as related to the construction works on the selected buildings will be temporary and easily mitigated (and include potential dust and noise generation, management of construction and other wastes, and ensuring minimal disruptions to building users and neighbors). Care should be exerted in planning the exact timing of works in schools (during breaks) or hospitals.

No substantial environmental and social risks pertaining to building retrofits have been identified during the design phase. Noting the minimum/no impact on environment sustainability of the retrofitting of building envelopes, installation of boiler plants (with capacity below 1MW) and associated works- the national legislation exempts these type of activities from EIAs. The project will be implemented according to UNDP's environmental and social policies in order to ensure that any environmental risks are minimized.

In addition, UNDP will ensure that the mandatory Social and Environmental Standards will be underpinned by an Accountability Mechanism with two key components: (i) A Compliance Review, to respond to claims that UNDP is not in compliance with applicable environmental and social policies and (ii) a Stakeholder Response Mechanism that ensures individuals, people and communities affected by the project have access to appropriate grievance resolution procedures for hearing and addressing project related complaints and disputes. The Social and Environmental Compliance Unit (SECU) investigates alleged non-compliance with UNDP's Social and Environmental Standards and Screening Procedure from project affected stakeholders and recommends measures to address findings of non-compliance. The Stakeholder Response Mechanism helps project affected stakeholders, UNDP's partners and others jointly address grievances or disputes related to the social and/or environmental impacts of the project. The methodology for filing a request is found on dedicated UNDP web site: <http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm.html>

Overall, the direct global environment benefit of the project is expected to reach at least 153,000 tons of CO<sub>2eq</sub> per year, resulting from financing and scaling-up low-carbon investments.

## 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).</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>
<p>A few potential risks have been identified, related to : (i) lack of capacity of duty bearers to meet their obligations under the project (ii) potential vulnerability of buildings situated in flood prone areas, (iii) potential risk that retrofit works may pose safety risks (iv) potential environmental risks posed by the waste generated by the refurbishment works.</p>			<p>The project interventions do not pose any significant social and environmental risks. According to the national legislation, EIA is not required for the types of activities envisaged by the project.</p>	<p>The project will support duty bearers in public sector to improve their skills and capacities for a better delivery of services to communities including vulnerable communities. The project will further ensure that the energy efficiency measures applied to the buildings in flood prone zones are adequate and fitting, in order to increase buildings’ resilience. The project will also hire experienced and licensed contractors and subcontractors with clear social and environmental safety measures to be implemented.</p> <p>Ultimately, UNDP will maintain constant engagement with local communities covered by the project and will deploy stakeholder mechanisms and grievance redress mechanisms in order to ensure maintenance of environmental and social standards.</p> <p>UNDP will ensure that the mandatory Social and Environmental Standards will be underpinned by an Accountability Mechanism with two key components: (i) A Compliance Review, to respond to claims that UNDP is not in compliance with applicable environmental and social policies and (ii) a Stakeholder Response Mechanism that ensures individuals, people and communities affected by the project have access to appropriate grievance resolution procedures for hearing and addressing project related complaints and disputes.</p> <p>The Social and Environmental Compliance Unit (SECU)</p>

				<p>investigates alleged non-compliance with UNDP’s Social and Environmental Standards and Screening Procedure from project affected stakeholders and recommends measures to address findings of non-compliance.</p> <p>The Stakeholder Response Mechanism helps project affected stakeholders, UNDP’s partners and others jointly address grievances or disputes related to the social and/or environmental impacts of the project.</p> <p>The methodology for filing a request is found on dedicated UNDP web site:  <a href="http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm.html">http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm.html</a></p>
[add additional rows as needed]				
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
Select one (see <a href="#">SESP</a> for guidance)			<b>Comments</b>	
<i>Low Risk</i>		<input checked="" type="checkbox"/>	The project interventions do not pose social and environmental risks.	
<i>Moderate Risk</i>		<input type="checkbox"/>		
<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			<b>Comments</b>	
<i>Principle 1: Human Rights</i>		<input checked="" type="checkbox"/> <input type="checkbox"/>	The project will support duty bearers in public sector to improve their skills and capacities for a better delivery of services to communities including vulnerable communities (e.g. increased competencies to design, implement and operate integrated fuel switch interventions and improved design of climate smart and inclusive programmes and policies)	

	<b>Principle 2: Gender Equality and Women's Empowerment</b>	<input type="checkbox"/>	n/a
	<b>1. Biodiversity Conservation and Natural Resource Management</b>	<input type="checkbox"/>	n/a
	<b>2. Climate Change Mitigation and Adaptation</b>	X <input type="checkbox"/>	The project will cover some of the flood prone areas and will therefore have to ensure that the energy efficiency measures applied to the buildings in flood prone zones are adequate and fitting, in order to increase buildings' resilience and minimize economic loss in case of a disaster (e.g. dry-proofing and wet-proofing measures)
	<b>3. Community Health, Safety and Working Conditions</b>	X <input type="checkbox"/>	The project will entail interventions where potential risk that retrofit works and failure of structural elements form the building retrofits may pose safety risks. The project will however mitigate this risk by considering on case by case basis if hiring security trained technical personnel will be needed and mainly by working with registered and skilled contractors and supervising the building retrofits closely, in accordance to national regulations.
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	n/a
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	n/a
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	n/a
	<b>7. Pollution Prevention and Resource Efficiency</b>	X <input type="checkbox"/>	The project will set up measures to deal with the generation of waste from building retrofits, by including specific terms regarding the (environmental friendly) waste disposal in the contractual agreement with building contractors. The associated environmental impacts, as related to the construction works on the selected buildings will be temporary and easily mitigated (and include potential dust and noise generation, management of construction and other wastes, and ensuring minimal disruptions to building users and neighbors). Care will be exerted in planning the exact timing of works in schools (during breaks) or hospitals.

## Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
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

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</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>1</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?	No
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.	Are there measures or mechanisms in place to respond to local community grievances?	No
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<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?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<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	No

<sup>1</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.



	habitats) and/or ecosystems and ecosystem services?  <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?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	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>2</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	No

<sup>2</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.]

	construction and operation)?	
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)	Yes
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<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)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>3</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)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No

<sup>3</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	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<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)?	Yes
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