

## Annex 1. 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 at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

### Project Information

<b>Project Information</b>	
1. Project Title	Demonstration of phase-out of mercury-containing medical thermometers and sphygmomanometers and promoting the application of mercury-free alternatives in medical facilities in China
2. Project Number (i.e. Atlas project ID, PIMS+)	Atlas Project ID: 00116373, UNDP-GEF PIMS ID number: 6279
3. Location (Global/Region/Country)	China
4. Project stage (Design or Implementation)	Design (endorsement stage)
5. Date	06/04/2021

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

#### 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**

Based on Article 25, of the UN Human Right Declaration “Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family....” A healthy environment without toxic chemicals is a pre-condition for the full enjoyment of human right. This project seeks to reduce the impact and release of mercury by working with enterprises, small to large, producing mercury containing medical devices, which in turn are used in different grades medical institutions across China, to help phase out production of mercury containing devices, and to promote production and uptake of non-mercury devices.

##### **Briefly describe in the space below how the project is likely to improve gender equality and women’s empowerment**

Gender dimensions will be a critical component of this project. In the manufacturing of mercury-containing thermometers and sphygmomanometers, there are more female workers than male workers employed. For the use of mercury-containing thermometers and sphygmomanometers in medical services, nurses, who are predominantly female, use mercury-containing thermometers and sphygmomanometers on a daily basis at triage. Therefore, these females are exposed more often to mercury when these mercury-containing medical devices break during use. Recognizing that the level of exposure to mercury and its related impacts on human health are determined by social and biological factors, women, children and men might be exposed to different kinds, levels and frequency of mercury. Therefore, gender mainstreaming will be an integral part of this project. Particularly component 1 and national strategies developed under that component will consider related gender and gender disaggregated health risks and other issues, with appropriate stakeholder associations and expertise. The awareness raising in component 4 will also pay more attention to women to help them be well prepared for the protection from mercury-exposure. A specific gender analysis for this project has been conducted during the PPG stage in close consultation with the UNDP gender advisor to ensure that all gender related activities are aligned with the [UNDP Gender Equality Strategy \(2018-2021\)](#), which was prepared in conjunction with the UNDP Strategic Plan and is operationalized in parallel with it. UNDP’s Gender Equality Strategy highlights the pivotal significance of gender equality and women’s empowerment and reaffirms that sustainable human development will

not be fully achieved unless women and girls are able to contribute on an equal basis with men and boys to their societies. The project will thus contribute to **SDG 5: Gender Equality and Women Empowerment**.

The following are key indicators which include a gender dimension:

- Sex-disaggregated number of direct project beneficiaries for which the risks of mercury exposure has been reduced (GEF Core Indicator 11),
- Sex-disaggregated number of jobs preserved/created to ensure production of non-mercury devices, uptake of non-mercury devices in the medical field and environmentally sound handling of mercury and obsolete mercury-containing devices,
- Number of trainings carried out in line with the Gender Action Plan,
- Sex-disaggregated number of people reached through awareness raising events on the human and environmental risks of mercury, environmentally sound ways to reduce mercury exposure (e.g. through safe handling of obsolete and/or broken devices), and ways to effectively use non-mercury technologies.

***Briefly describe in the space below how the project mainstreams sustainability and resilience***

The project is designed to respond to the requirements of the Minamata Convention on Mercury and reduce the risks of mercury on human health and the environment by demonstrating the phase-out of mercury in the manufacturing of medical thermometers and sphygmomanometers. The project also aims to ensure the uptake of mercury-free alternatives in demonstration medical facilities. The project will complement and enhance implementation of China's National Strategy and Action plan for the Implementation of the Minamata Convention. In order to halt production of mercury producing devices and uptake of non-mercury technology, these outputs can be used to inform national sectoral planning, and upscale action nationwide. This proposed GEF Project also closely corresponds to the on-going United Nations Development Assistance Framework (UNDAF) 2016-2020 as expressed in the Country's UNDAF document signed by both UNDP and the Government of China in 2015. This document provides details of UNDP assistance for "More people enjoy a cleaner, healthier and safer environment as a result of improved environmental protection and sustainable green growth."

In fact, the project will contribute to several SDGs including:

- **SDG 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture** by decreasing the use of mercury and their release into the environment, indirectly halting and reducing their build-up in the food chain.
- **SDG 3: Ensure healthy lives and promote well-being for all at all ages** by reducing the use of mercury and POPs in China, and minimize their release, to ultimately protect human and environmental health.
- **SDG 12: Ensure sustainable consumption and production patterns** through the reduction of the release of mercury by introducing alternative processes and technologies that are mercury-free and in line with best available technology guidelines.
- **SDG 14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development** through decreasing the use and release of mercury, preventing them from entering water sources, and reducing their build-up in the marine ecosystem.

The project is also fully aligned with the GEF7 Chemical and Waste Focal Area Strategy, Program 1 "Industrial Chemical Programs", as it seeks to eliminate or significantly reduce POPs substances or mercury. The project will address chemical waste at the end of life, chemicals that are used or emitted from processes or products, and waste management.

***Briefly describe in the space below how the project strengthens accountability to stakeholders***

The project design will necessitate close interaction and participation with those at risk of exposure to mercury through inappropriate disposal of obsolete devices, and mercury stockpiles and contaminated wastes. The raising of awareness, capacity building and guidance will be incorporated into the sectoral plan within China's long-term National Strategy and Action Plan for the Implementation of the Minamata Convention, ensuring that risks to health of workers and communities alike will be managed in the long-term. A Stakeholder Engagement Plan has been prepared during the PPG to ensure a holistic approach that will involve all those affected by the project.

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

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Complete SESP Attachment 1 before responding to Question 2.</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 5</i>			<b>QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High</b>
<b>Risk Description (broken down by event, cause, impact)</b>	<b>Impact and Likelihood (1-5)</b>	<b>Significance (Low, Moderate Substantial, High)</b>	<b>Comments (optional)</b>	<b>Description of assessment and management measures for risks rated as Moderate, Substantial or High</b>
<p><b>Risk 1:</b> Duty bearers, and other relevant stakeholders may fall short of capacities to meet their obligations in the Project upon the development of the new coordination and regulatory mechanisms.</p> <p>Related to:</p> <ul style="list-style-type: none"> <li>• Human Rights; P.2</li> <li>• Accountability; P.14</li> </ul>	I=2 L=1	Low	<p>It is recognized that China holds an important baseline regulatory framework consisted by by-laws, guidelines and voluntary standards in relation to mercury management and use of mercury-based products. It also noted that Government Officers are subject of regular trained and are aware of the baseline instruments.</p> <p>The project propose a complementary and streamlined set of instruments in Component 1, thus Officials, responsible for enforcing legislation at mercury-containing medical device industries slated for mercury phase out, will require adequate further capacity building to be also delivered by the project for implementing them properly.</p> <p>Thus, this risk is LOW.</p>	<p>Through Component 1, Activity 1.1.1, Activity 1.2.1 will support the training needs assessment and develop a targeted training plan (guided by the SES) to ensure that the relevant officials receive adequate training to understand their new extended responsibilities arising from the improved Institutional and Regulatory Frameworks being developed by the project in terms of new legislation, guidelines and mandatory standards. Although this risk is LOW, the project will undertake these activities as incremental support resulting from the improved Regulatory and Institutional Frameworks.</p>
<p><b>Risk 2:</b> Small or medium sized manufacturers and health care facilities are not involved in decision-making regarding development of policy and regulatory frameworks and green procurement</p>	I = 3 L = 3	Moderate	<p>If not aware of these potential financing instruments, small and medium sized manufacturers may not be able to feasibly convert their manufacturing</p>	<p>Stakeholder engagement will be undertaken to ensure fair representation of small and medium sized manufacturers of mercury medical devices who may otherwise be marginalized from participating in any financing schemes and be at a disadvantage once the final phase out of mercury device</p>

<p><b>standards and do not have equal access to financing through the Green Finance Framework</b></p> <p>Related to:</p> <ul style="list-style-type: none"> <li>• Accountability; P.13, P.14</li> </ul>			<p>process to become mercury-free and health facilities will not be incentivized to switch to mercury-free thermometers and sphygmomanometers. These groups will thus become marginalized and not benefit equally from the project.</p>	<p>production for domestic markets commences at the end of 2025 (Activities 1.3 and 1.4). A Stakeholder Engagement Plan (SEP) has been prepared (ProDoc Annex 5) to incorporating these engagement activities.</p> <p>In addition, the project will raise the awareness of enterprises on possible green finance instruments, and to facilitate their access to government and/or private banking investments, to support quality-controlled conversion of production lines. It will also create a procurement subsidization scheme to support green procurement, application of mercury-free medical thermometers and sphygmomanometers, sound management of obsolete mercury containing devices, any related capacity building and awareness activities in medical facilities.</p>
<p><b>Risk 3: Potential risk to enterprise viability and workers' employment, particularly women, in the course of the transition to production of non-mercury devices, in particular.</b></p> <p>Related to:</p> <ul style="list-style-type: none"> <li>• Gender Equality and Women Empowerment; P.9</li> <li>• Accountability; P.13, P.14</li> <li>• Standard 7: Labour and Working Conditions; 7.1, 7.5</li> </ul>	<p>I = 3 L = 4</p>	<p><b>Moderate</b></p>	<p>Given the fact that the project focuses on changing production processes in plants to switch to production of non-mercury medical devices, there is some business risk for enterprises, and by extension to job security for workers. By transitioning technology out of mercury devices, it is expected that high technology devices will be used, meaning more specialized expertise (jobs) will be needed/created, while less skilled workers, the majority of whom are women, that currently work in the mercury-based lines could lose the jobs.</p>	<p>The project is designed to help with the transition to non-mercury medical devices, since there will be mandatory end of production of mercury devices for export by the end of 2020 and complete shut-down of production for domestic markets by the end of 2025. The project is therefore inherently addressing the risk of loss of income for businesses from mandatory shut down of mercury device manufacture under Minamata Convention compliance implementation, by offering capacity for production of non-mercury equipment, and preserving livelihoods. Nevertheless, stakeholder engagement throughout project implementation will ensure that enterprises that may be affected by the project all benefit from this support through capacity building and awareness raising on green financing available (Activities 1.3.1 and 1.4.1). A Stakeholder Engagement Plan has been prepared for that purpose.</p> <p>A risk assessment will be undertaken for the alternative technology (Activity 2.1.1) to be used taking into consideration avoiding retrenchment. The industry will consult with trade unions or other workplace representatives over the proposed redundancies on measures to avoid or reduce redundancies, the method of selection and mitigating the effects, integrating outcomes into the final restructuring plan. This includes potentially training qualified existing staff on other roles or skills that may be needed at the industry. Where no viable alternatives are identified, a Restructuring Plan will be developed to reduce and mitigate adverse</p>

				<p>impacts of retrenchment on workers. At a minimum, the Restructuring Plan will include the following:</p> <ul style="list-style-type: none"> <li>• Ensuring that any collective dismissals are carried out in accordance with the provisions of national law and applicable collective agreements.</li> <li>• Ensuring that the criteria for selection for redundancy are objective, fair and transparent and aim to be gender-neutral; and implement a procedure which provides individuals with the right to challenge their selection.</li> <li>• Ensuring that all outstanding back pay, social security benefits and pension contributions and benefits are paid to those affected by retrenchment in a timely manner.</li> <li>• In the case of large-scale redundancies, provide the UNDP with a copy of the restructuring plan in advance of any dismissals.</li> </ul>
<p><b>Risk 4: Inadequate participation of women in consultations, policy decision making and design of modalities for capacity building in uptake of non-mercury technologies and safe management and disposal of obsolete mercury devices</b></p> <p>Related to:</p> <ul style="list-style-type: none"> <li>• Gender Equality and Women’s Empowerment; P.10</li> </ul>	<p>I = 3 L = 2</p>	<p><b>Moderate</b></p>	<p>The Gender Analysis found a disproportionate number of women in the area of nursing in particular, and fair representation amongst the cleaning staff. In addition, at the enterprises visited, the majority of workers for production of mercury-containing thermometers were women, as were over a half of workers for the mercury-containing sphygmomanometers.</p>	<p>The Gender Action Plan has addressed potential risks and included measures to mainstream gender in all project components, with specific focus on encouraging women representation in the following:</p> <ul style="list-style-type: none"> <li>• Inter-ministerial committee for National Implementation Plan</li> <li>• Development of policy and regulatory frameworks, quality control standards, monitoring and management systems, and capacity-building programs</li> <li>• Capacity building of medical staff to use and maintain mercury-free devices, and to soundly manage obsolete mercury devices and related wastes</li> <li>• Cooperation with WHO to share knowledge about the replacement of mercury thermometers and sphygmomanometers in health care</li> <li>• Training on sound management of residual mercury stocks and obsolete mercury containing devices, and the remediation of contaminated sites on production sites and in medical facilities</li> </ul>
<p><b>Risk 5: Risk of release and worker/community exposure during decommissioning, transport and storage of waste mercury-related equipment, devices and elemental mercury in the course of the project</b></p> <p>Related to:</p>	<p>I = 4 L = 2</p>	<p><b>Moderate</b></p>	<p>Transport, storage and disposal operations for any hazardous substance may pose potential human and ecosystem health risks, whether to workers or the wider community, to local environment, or transboundary ecosystems. Therefore, for any project which involves collection, handling, packaging,</p>	<p>As part of the private sector risk assessment that will be undertaken, the project will ensure that the interim storage facilities at the selected enterprises (Activity 2.1.1 and Activity 3.3.1) are referring to the Minamata Convention’s Guidelines <a href="#">on the environmentally sound interim storage of mercury</a> by confirming the following:</p> <ul style="list-style-type: none"> <li>- Site is appropriate and abides by local zoning requirements.</li> </ul>

<ul style="list-style-type: none"> <li>• Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management; 1.1, 1.7</li> <li>• Standard 3: Community Health, Safety and Security; 3.2, 3.4, 3.5 and 3.6</li> <li>• Standard 7: Labor and Working Conditions; 7.6</li> <li>Standard 8: Pollution Prevention and Resource Efficiency; 8.1, 8.2 and 8.3</li> </ul>			<p>transport, destruction or disposal of waste, particularly hazardous chemicals waste, there is always a standing risk of release to the environment. However, in this particular sector, mercury is already fairly well controlled in processes, and mercury medical device manufacturing is not one of the main sources of mercury pollution. Instead for this project, the biggest contamination risks arise from the poor handling and gathering when broken in the medical institutions before disposal of the obsolete devices. Therefore, working with players in the manufacturing and medical sector who already have some sensitivity to care for handling of mercury, therefore lowers the risk associated with the decommissioning aspect of the work.</p>	<ul style="list-style-type: none"> <li>- Facility is designed to facilitate the safe handling of containers.</li> <li>- Indoor air is vented outside, and where levels of mercury call for venting via activated carbon or other mercury capture systems, system is installed and operational.</li> <li>- Site is equipped with a fire protection system.</li> <li>- Emergency response plan in place and local fire department, where available, is sufficiently informed, trained, equipped and otherwise prepared to safely handle any fires at the facility.</li> <li>- Facility is constructed of non-combustible materials and non-combustible materials should be used for pallets, storage racks and other interior furnishings.</li> <li>- A drainage and collection system for discharged water exists enabling mercury monitoring from the site.</li> <li>- Floors of storage facilities are covered with mercury-resistant materials and have no cracks.</li> <li>- The facility is clearly marked with warning signs and secured to avoid theft and unauthorized access.</li> </ul> <p>Should any of these requirements not be met, then activities will be undertaken to introduce them, including retrofitting of the storage facility.</p> <p>Referring to the above-mentioned guidelines, containers that store mercury will meet the following criteria:</p> <ul style="list-style-type: none"> <li>- They are not damaged by any materials previously stored in them or have contained materials that could adversely react with mercury or mercury compounds.</li> <li>- Their structural integrity is intact.</li> <li>- They are not excessively corroded.</li> <li>- They have a protective coating (paint) to prevent corrosion.</li> <li>- They are gas- and liquid-tight.</li> <li>- Labelled in line with the globally harmonized system of classification and labelling of chemicals.</li> </ul> <p>A Spill Prevention and Management Plan will be developed and implemented at all demonstration sites for safe handling and disposal of mercury-containing obsolete devices and safely cleanup of accidental mercury releases ensuring that:</p> <ul style="list-style-type: none"> <li>- Brooms are not used to clean up broken devices because they will spread the mercury.</li> <li>- A vacuum cleaner should only be used if it is specifically designed to collect mercury.</li> </ul>
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<p><b>Risk 6: Risk of flooding of mercury device interim storage facilities</b></p> <p>Related to:</p> <ul style="list-style-type: none"> <li>Standard 2: Climate Change Mitigation and Adaptation; 2.1, 2.2</li> <li>Standard 3: Community Health, Safety and Security; 3.3</li> </ul>	<p>I = 3 L = 2</p>	<p><b>Moderate</b></p>	<p>Increased weather events due to climate change may pose a risk on facilities where stockpiles of mercury medical devices are stored prior to disposal.</p>	<p>As mentioned earlier, the project, through the environmental audit of the interim storage facilities, will take into consideration flood risks when locating and designing storage facilities to minimize the risk of inundation.</p>
<p><b>Risk 7: Increased GHG emissions from alternative processes to eliminate the use of Mercury</b></p> <p>Related to:</p> <ul style="list-style-type: none"> <li>Standard 2: Climate Change Mitigation and Adaptation; 2.4</li> </ul>	<p>I = 3 L = 3</p>	<p><b>Moderate</b></p>	<p>The process needed to transition to non-mercury medical devices is more technologically advanced than the current one, which relies heavily on labor. Therefore, the GHG emissions may be higher under the new process. However conversion activities can also imprint opportunities to phase-in more efficient technologies and processes which could reduce GHG emissions.</p>	<p>When selecting the process for the transition of industries (Activity 2.1.1), the level of GHG emissions of the considered alternatives will be one of the criteria to be evaluated for best environmental practice and SES requirements will be followed where applicable.</p>
<p><b>Risk 8: Resettlement or economic displacement or damage to agricultural lands indirectly resulting from the project's identification of contaminated sites that require remediation in pilot sites through co-financed activities.</b></p> <p>Related to:</p>	<p>I = 4 L = 2</p>	<p><b>Moderate</b></p>	<p>The project will engage with six (6) local manufacturers of medical devices – located in six different sites - that currently use Mercury in their products.</p> <p>The project will provide technical assistance to develop mercury-free technologies and will develop guidelines to</p>	<p>An appropriately scoped ESMF will be developed to manage this risk and all E/S risks associated with these specific co-financed activities. The risk management strategy that will be developed as part of Activity 3.2.2 and will be part of the cooperation agreement / contracts to be signed with each demonstration company per site.</p> <p>The management strategy carries the appropriate Environmental Impact Assessment (EIA; required under national law for this co-financing activity) and will address all</p>

<ul style="list-style-type: none"> <li>• Standard 5: Displacement and Resettlement; 5.1, 5.2</li> <li>• Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management; 1.1, 1.7</li> </ul>			<p>support these 6 manufacturers to identify if their sites – and neighboring lands – could be contaminated with mercury due to their baseline industrial activities.</p> <p>Although the project itself will not be responsible for remediating any contaminated sites, the project’s guidance and support on identification of these sites may lead to other entities undertaking these remediation activities.</p> <p>An public manifestation process was carried out based on defined criterion for the selection of the 6 industries.</p> <p>On top of documentation review, verification against adherence to local environmental and labor laws, all sites were visited by the Project team. It is noted no Ethnic minorities and/or Indigenous Population are present in those sites.</p> <p>In addition, legal documentation provided during the selection process and site verification also confirmed that No cultural heritage exists in these sites.</p>	<p>relevant SES requirements for the land identified as contaminated in Activity 3.1.1. This will be further described in the forthcoming ESMF, including the extent to which consistency with the SES is necessary under the policy for these co-financed activities that fall outside the project’s framework.</p> <p>These will include, amongst other measures, consultations with affected persons in line with the Stakeholder Engagement Plan .</p>
<p><b>Risk 9: Working conditions that do not meet national labor laws and international commitments and exposure to health and safety risk within the demonstration enterprises and hazardous waste disposal enterprises</b></p>	<p>I = 4 L = 2</p>	<p><b>Moderate</b></p>	<p>As mentioned earlier, workers in the manufacturing and medical sector already have some sensitivity and knowledge on safe handling of mercury, therefore lowering the risk associated with the</p>	<p>Prior to engaging any enterprise, in particular the demonstration enterprises that manufacture medical thermometers (Activity 2.1.1) and sphygmomanometers, a private sector risk assessment will be conducted. This will be done through a visit to the facility and ensuring that occupational health and safety measures are applied (through an Occupational Risk Assessment) and that the interim</p>

<p>Related to:</p> <ul style="list-style-type: none"> <li>Standard 7: Labor and Working Conditions; 7.1, 7.2, , 7.5, 7.6</li> </ul>			<p>decommissioning aspect of the work. It is important to note that Forced Labour is illegal in China through articles in the Penal Law of 2011 and Labour Contract Law of 2007.</p>	<p>storage facilities where mercury will be stored, prior to disposal, are referring to the Minamata guidelines and that the necessary “Safety Certification” has been obtained from local authorities. If not already available at the enterprises, an Occupational Health and Safety Plan that determines the measures to be adopted (such as ventilation and wearing personal protective equipment) will be prepared and implemented.</p> <p>In addition, the demonstration enterprises will confirm that they have ensured the hazardous waste disposal enterprises they engaged/will engage are duly registered and authorized to conduct such business.</p>
<p><b>Risk 10:</b> Health and safety risk to workers during refurbishment of demonstration enterprises (through co-financed activities).</p> <p>Related to:</p> <ul style="list-style-type: none"> <li>Standard 7: Labor and Working Conditions; 7.1, 7.24, 7.5, 7.6</li> </ul>	<p>I = 3 L = 2</p>	<p><b>Moderate</b></p>	<p>The project will engage with six (6) local manufacturers of medical devices identified through a public selection process in which proof documentation was provided as well as field verification by UNDP and Implementing Partner teams that verified the company is compliant with national laws that prohibit use child and forced labor.</p> <p>Although refurbishment of demonstration enterprises is not part of the project, they are co-financed activities that are essential for its success and therefore the risk on workers’ health and safety have been considered.</p>	<p>As noted above, an appropriately scoped ESMF will be developed to manage this risk and all E/S risks associated with these specific co-financed activities.</p> <p>The contractor engaged in the refurbishment activities will be required to submit and implement a worker health and safety plan in line with Local Regulations as well as referring to International Standards and the Guidelines of the Minamata Convention (for BAT/BEP). . The project will approve this plan and ensure that it is being implemented. These risk management actions will be conducted in line with UNDP’s SES Policy.</p>
<p><b>QUESTION 4: What is the overall project risk categorization?</b></p>				
<p><i>Low Risk</i>      <input type="checkbox"/></p>				
<p><i>Moderate Risk</i>      <input checked="" type="checkbox"/>      The screening has identified 10 risks related to this project, one categorized as Low (Risk 1) and nine categorized as Moderate. <b>As result, the overall risk categorization for this project is determined to be Moderate.</b></p>				

			<p>Majority of risks are being managed through the project’s design: including a Stakeholder Engagement Plan (ProDoc Annex 8) as well as a Gender Action Plan (ProDoc Annex 9) have already been prepared..</p> <p>Companies pre-selected by the project to implement the demonstration activities will only formally engage with the project upon meeting national legislation on SES (by developing and approving with local authorities their individual EIAs) and an ESMF to address Risks 8 and 10 will be developed before ProDoc Signature (or during the first year of the project implementation) covering the co-financed activities listed that are not administered by the Project.</p> <p>In addition, during project implementation and per the project’s design, a Spill Prevention and Management Plan and an Occupational Health and Safety Plan will be prepared and implemented. If retrenchment is found to be unavoidable for certain industries, a Restructuring Plan will be developed and implemented.</p> <p>Finally, interim storage facilities where mercury-containing devices will be stored prior to disposal will be subject to an environmental audit. A Grievance Redress Mechanism will be set up for the project (per the Stakeholder Engagement Plan).</p>
	<b>Substantial Risk</b>	<input type="checkbox"/>	
	<b>High Risk</b>	<input type="checkbox"/>	
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)</b>			
Question only required for Moderate, Substantial and High Risk projects			
<b><i>Is assessment required? (check if “yes”)</i></b>	<b>X</b>		<b><i>Status? (completed, planned)</i></b>
<i>if yes, indicate overall type and status</i>	<b>X</b>	Targeted assessment(s) Gender analysis Stakeholder analysis Occupational Risk Assessment Environmental Audit	Completed Completed Planned Planned
	<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	
	<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
<b><i>Are management plans required? (check if “yes”)</i></b>	<b>X</b>		

	<i>If yes, indicate overall type</i>	<input checked="" type="checkbox"/>	Targeted management plans Gender Action Plan Stakeholder Engagement Plan Occupational Health and Safety Plan Spill Prevention and Mgt. Plan Restructuring (Jobs) Plan	Completed Completed Planned Planned If needed
		<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
		<input checked="" type="checkbox"/>	ESMF (Environmental and Social Management Framework) Risk 8 and Risk 10 (EIAs from Industries)	Planned
	<b>Based on identified risks, which Principles/Project-level Standards triggered?</b>		<b>Comments (not required)</b>	
	<b>Overarching Principle: Leave No One Behind</b>			
	<b>Human Rights</b>	<input type="checkbox"/>		
	<b>Gender Equality and Women's Empowerment</b>	<input checked="" type="checkbox"/>		
	<b>Accountability</b>	<input checked="" type="checkbox"/>		
	<b>1. Biodiversity Conservation and Sustainable Natural Resource Management</b>	<input checked="" type="checkbox"/>		
	<b>2. Climate Change and Disaster Risks</b>	<input checked="" type="checkbox"/>		
	<b>3. Community Health, Safety and Security</b>	<input checked="" type="checkbox"/>		
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>		
	<b>5. Displacement and Resettlement</b>	<input checked="" type="checkbox"/>		
<b>6. Indigenous Peoples</b>	<input type="checkbox"/>			
<b>7. Labour and Working Conditions</b>	<input checked="" type="checkbox"/>			
<b>8. Pollution Prevention and Resource Efficiency</b>	<input checked="" type="checkbox"/>			

### Final Sign Off

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

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

<b>Checklist Potential Social and Environmental Risks</b>		
<p><b>INSTRUCTIONS:</b> 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 <a href="#">SES toolkit</a> for further guidance on addressing screening questions.</p>		
<p><b>Overarching Principle: Leave No One Behind</b></p> <p><b>Human Rights</b></p>		<b>Answer (Yes/No)</b>
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?	Yes
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>		
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?	No
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? <sup>1</sup>	No
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
<b>Gender Equality and Women's Empowerment</b>		
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
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	Yes
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? <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
P.12	exacerbation of risks of gender-based violence? <i>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.</i>	No

<sup>1</sup> 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.

<b>Sustainability and Resilience:</b> Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
<b>Accountability</b>		
<i>Would the project potentially involve or lead to:</i>		
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
<b>Project-Level Standards</b>		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	Yes
1.2	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?	No
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)	No
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? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? <sup>2</sup>	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>3</sup>	No
1.14	adverse transboundary or global environmental concerns?	No
<b>Standard 2: Climate Change and Disaster Risks</b>		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	Yes

<sup>2</sup> See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

<sup>3</sup> See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events</i>	Yes
2.3	direct or indirect increases in vulnerability to climate change impacts or disasters 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
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	Yes
<b>Standard 3: Community Health, Safety and Security</b>		
<i>Would the potentially involve or lead to:</i>		
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)	No
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)?	Yes
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	Yes
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?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
<b>Standard 4: Cultural Heritage</b>		
<i>Would the project potentially involve or lead to:</i>		
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?	No
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)	No
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
<b>Standard 5: Displacement and Resettlement</b>		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	Yes
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)?	Yes

5.3	risk of forced evictions? <sup>4</sup>	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples<sup>5</sup></b>		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	No
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 ethnic minorities/indigenous peoples by the country in question)?  <i>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</i>	No
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?	No
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?  <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	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?  <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
<b>Standard 7: Labour and Working Conditions</b>		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
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?	Yes
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

<sup>4</sup> 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.

<b>Standard 8: Pollution Prevention and Resource Efficiency</b>		
<i>Would the project potentially involve or lead to:</i>		
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?	Yes
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, <b>release</b> , 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? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the <a href="#">Montreal Protocol</a>, <a href="#">Minamata Convention</a>, <a href="#">Basel Convention</a>, <a href="#">Rotterdam Convention</a>, <a href="#">Stockholm Convention</a></i>	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?	No