## Annex 2: Social and Environmental Screening

*The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the* [*Social and Environmental Screening Procedure*](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) *and* [*Toolkit*](https://intranet.undp.org/unit/bpps/DI/SES_Toolkit) *for guidance on how to answer the 6 questions.*

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | Building Effective Resilience for Human Security in the Caribbean Countries: The Imperative of Gender Equality and Women Empowerment in a Strengthened Agriculture (and related Agri/Fisheries Small Business) Sector |
| 1. Project Number | 00123955 |
| 1. Location (Global/Region/Country) | Antigua and Barbuda, Barbados, Dominica, Grenada, Saint Lucia (Joint Programme with UNWomen, FAO, ILO, UNDP) |

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

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| **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 has been designed using the human security approach, which is based on the human rights based approach. The project is built on the premise that there can be no improvement in human security in the Caribbean without addressing as a major - if not first - priority the issue of ‘lost opportunities’ and ‘foregone achievement’ that result from deep gender inequality and insufficient progress in the economic empowerment of women. These not only have a major direct impact on personal and family security, but also a very substantial indirect impact on human security as a result of missed family and national incomes, and which thus leads to reduced government resources for investment in human security related services and public goods. This project purposely places gender equality at the top of resilience and Human Security strategies. It innovates in aiming to demonstrate clearly that addressing this gender inequality comprehensively and investing in women empowerment is a first-choice enabler of substantial and sustained improvements in human security. The project will generate evidence-based proof that gender equality and the women empowerment objectives need to be placed at the forefront of every Human Security strategy. And that building an inclusive, equitable, prosperous, healthy, cohesive, safe, just, sustainable and thus resilient Caribbean - the priority goals of the ‘One UN’ Strategy for the Caribbean - cannot be achieved without fully achieving gender equality and women empowerment.A comprehensive, participatory and context-specific approach will be followed. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| As mentioned above women’s equality is the focus of the work of the project. The project activities in the full jpoint pgoramme are specifically geared towards addressing multiple issues of gender equality and women empowerment in one sector: agriculture, including fisheries and related small business. This sector, also directly linked to the tourism sector (the main contributor to the Caribbean countries’ economy), is key for long-term human security in the Caribbean. The project will address the multi-dimensionality of gender equality issues in the agriculture sector: unequal access to land and land/business ownership; discrimination in access to resources, extension services, finance and insurance; neglected disaster and climate change proofing of women livelihoods in this sector; and gender-blindness, in varying degrees, of public policy and of existing or planned structural adjustment programmes.  Specifically to UNDPs activities, women’s equality will be addressed through gender responsive impact assessments of structural adjustment policies and programmes on the agriculture sectoe including fisheries and related small businesses. The impact on women in these areas will be of particular focus, and gender responsive advisory notes developed and implemented in advocacy based activities, which support recommended policy and programmatic change. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| Overall the project supports sustainable development in the agriculture sector. UNDP specific activities will not direct environmental sustainability directly, but wll ensure not to support activities which will lead to envornmental damages. |

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

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| --- | --- | --- | --- | --- | --- | --- |
| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | | | | **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)?** | |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance***  ***(Low, Moderate, High)*** | ***Comments*** | | ***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.*** | |
| Risk 1: …. | I =  P = |  |  | |  | |
| Risk 2 …. | I =  P = |  |  | |  | |
| Risk 3: …. | I =  P = |  |  | |  | |
| Risk 4: …. | I =  P = |  |  | |  | |
| [add additional rows as needed] |  |  |  | |  | |
|  | **QUESTION 4: What is the overall Project risk categorization?** | | | | | |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | | | | | **Comments** |
| ***Low Risk*** | | | **X** | | **There are no known social and environmental risks posed by the project** |
| ***Moderate Risk*** | | | **☐** | |  |
| ***High Risk*** | | | **☐** | |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** | | | | |  |
| Check all that apply | | | | | **Comments** |
| ***Principle 1: Human Rights*** | | | **☐** | |  |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | | | **☐** | |  |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | | **☐** | |  |
| ***2. Climate Change Mitigation and Adaptation*** | | | **☐** | |  |
| ***3. Community Health, Safety and Working Conditions*** | | | **☐** | |  |
| ***4. Cultural Heritage*** | | | **☐** | |  |
| ***5. Displacement and Resettlement*** | | | **☐** | |  |
| ***6. Indigenous Peoples*** | | | **☐** | |  |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **☐** | |  |

**Final Sign Off**

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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** |  |
| **Principles 1: Human Rights** | **Answer  (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | 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? [[1]](#footnote-1) | 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. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | No |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights? | No |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | No |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls? | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | No |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  *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 |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
|  |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | No |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | 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?  *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | 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?  *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.* | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[2]](#footnote-2) greenhouse gas emissions or may exacerbate climate change? | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | No |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive 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* | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[3]](#footnote-3) | 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? |  |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 Would the proposed Project potentially affect the 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 the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.* | No |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | No |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | No |
| 6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)? | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol* | 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 |

**Annex 1. ERM Risk Categories**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 1.Social and Environmental | 2. Financial | 3.Operational | 4.Organizational | 5. Political | 2.Regulatory | 7. Strategic | 8. Safety and Security |
| * 1. Human rights   2. Gender   3. Biodiversity and use of natural resources   4. Climate change and disaster   5. Community health and safety   6. Labour conditions/standards   7. Cultural heritage   8. Rights of Indigenous Peoples   9. Displacement and resettlement   10. Pollution and resource efficiency   11. Stakeholder engagement   12. Sexual exploitation and abuse | * 1. Cost recovery   2. Value for money   3. Corruption and fraud   4. Fluctuation in credit rate, market, currency   5. Delivery | * 1. Alignment with national priorities   2. Responsiveness to lessons learned and evaluations   3. Leadership & management   4. Flexibility and opportunity management   5. Synergy potential (linking with other initiatives as relevant)   6. Reporting and communication   7. Partnership   8. Capacity development of national partners   9. Engagement of national partners in decision-making   10. Transition and exit strategy   11. Occupational safety, health and well-being | * 1. Governance   2. Monitoring   3. Independence and quality of evaluation   4. Knowledge management   5. Grievances   6. Due diligence of private sector partners   7. Human Resources   8. Budget availability and cash flow   9. Internal control   10. Procurement   11. Innovating, piloting, experimenting, | * 1. Government commitment   2. Political will   3. Political instability   4. Change/ turnover in government | * 1. Changes in the regulatory framework within the country of operation   2. Changes in the international regulatory framework affecting the whole organization   3. Deviation from UNDP internal rules and regulations | * 1. Theory of change   2. Alignment with UNDP Strategic priorities   3. Capacities of the partners   4. Roles and responsibilities among partners   5. Code of conduct and ethics   6. Public opinion and media   7. Synergy with UN / Delivery as One | 8.1 Armed Conflict  8.2 Terrorism  8.3 Crime  8.4 Civil Unrest  8.5 Natural Hazards  8.6 Manmade Hazards |

## ANNEX 3: Offline Project Risk Register Template

1. ***Offline Project Risk Register for Project Document Template***

|  |  |  |
| --- | --- | --- |
| **Project Title:** | **Project Number:** | **Date:** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **#** | **Description** | **Risk Category** | **Impact &**  **Likelihood = Risk Level** | **Risk Treatment / Management Measures** | **Risk Owner** |
|  | Enter a brief description of the risk. Risk description should include future event, cause and effects.  Risks identified through HACT, SES, Private Sector Due Diligence, and other assessments should be included. | Social and Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Safety and Security  Subcategories for each risk type should be consulted to understand each risk type (see Enterprise Risk Management Policy) | Describe the potential **effect** on the project if the future event were to occur.  Enter **likelihood** based on 1-5 scale (1 = Not likely; 5 = Expected)  Enter **impact** based on 1-5 scale (1 = Negligible; 5 = Extreme)  Based on Likelihood and Impact, use the Risk Matrix to identify the **Risk Level** (High, Substantial, Moderate or Low) | What actions have been taken/will be taken to manage this risk. | The person or entity with the responsibility to manage the risk. |
| 1 | Due to the sensitive nature of structural adjustment policy and programme development and implementation there is a chance that advocacy activities will not be successful, and recommendations for change not accommodated | Social and Environmental  Financial  Operational  Organizational  **Political**  Regulatory  **Strategic**  Safety and Security | Text  P =3  I = 2 | Making sure to work with government as much as possible throughout the consultancies so that recommendations are relevant and achieveable | Cherise Adjodha |
| 2 |  | Social and Environmental  Financial  Operational  Organizational  Political  Regulatory  Strategic  Safety and Security | Text  P =  I = |  |  |

1. 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. [↑](#footnote-ref-1)
2. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-2)
3. 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. [↑](#footnote-ref-3)