## Annex E: UNDP Social and Environmental Screening Procedure and plans as needed

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | Low-emission Urban Transport Systems in Bhutan |
| 1. Project Number | PIMS 5563 |
| 1. Location (Global/Region/Country) | Bhutan |

**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*** |
| By ensuring access to clean, reliable and affordable transportation, the Project will contribute to upholding basic human rights of people of Bhutan through the delivery of interrelated impacts such as enhanced living standards through better livelihood opportunities, enhanced human health, improved education and reduced environment degradation through reduced level of GHG emissions. In addition, the project will have positive impact with no vehicular tailpipe emissions like Nitrogen oxides (NOx), Hydrocarbons (HC), Sulphur dioxide (SO2), Particulate matter (PM10), Ozone (O3). Hence, avoid environmental degradation associated with vehicular air pollution that potentially leads to smog, haze and other health problems and improves quality of life. Further the project aims to partner with private sector for supply of EVs which will result in growth of private enterprises and thus creation of more employment.  The project at large will contribute to the achievement of Bhutan’s development philosophy of Gross National Happiness, in particular, pillar of environmental conservation and sustainability. Bhutan’s has prioritized three SDG for the 12Five Year Plan (2018-2022) and this project will directly impact the two SDG – Goal 1 No Poverty and Goal 13. Climate Action. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| The project is geared towards improved provision of accessible, reliable affordable and low emission transport system to all. The Project will create enhanced livelihood opportunities, better access to health, safer transportation system, especially, women passengers and train women taxi drivers. Some of the interventions such as the development of Intelligent transport system in turn will provide additional livelihood opportunities to women due to safe travel environment and enhance their income. A survey will be conducted during the inception period which will include parameters on women’s specific needs as drivers and users of EVs. As per the gender analysis conducted during PPG phase (Annex G), the recommendations are:  • Ensure equal access of Female Taxi Drivers to EV Discount Program  • Ensure all female taxi drivers benefit and participate in the capacity building program offered by the project on EV maintenance and operations  • Development of Intelligent Transport System to improve comfort and safety of female taxi end-users  • Enhance Facilities of Taxi Stands  • Raise awareness and building capacity of relevant authorities on the important of gender mainstreaming in transport policies |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The proposed project is within the context of sustainable development in Bhutan, particularly contributing towards the country’s commitment to remain carbon neutral. The project will result in direct GHG emissions reduction of 43,000 tCO2 from the transition to 300 taxi EVs to be supported via Discount Program and additional; additionally, there will be consequential GHG emission reductions in the range of 93,000 tCO2 to 410,000 tCO2 over the period of 10 years after the end of the original project as a result of continued market transformation to be enabled by the project. It will also promote diversification of the resource base of the economy and improve the country’s foreign exchange reserves due to reduced demand on imported fossil fuel. Environmental sustainability will be assured through the synergistic aspect of the integrated way the key stakeholders will be working together, and the higher chances of scaling-up/replication of whatever low carbon techniques/practices will be introduced, demonstrated, and promoted under the project. |

**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: The improper management and disposal of EV batteries could harm community health, through exposure to toxic and other chemicals (e.g. cadmium).  (Standard 3.2 The Project poses 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))  Standard 7.2 The proposed Project potentially may result in the generation of waste (both hazardous and non-hazardous)  Standard 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | P= 3  I=3 | Moderate | The battery of an EV typically contains either Lithium ion or nickel-metal hydride and even traces of toxic material such as cadmium which warrants proper disposal.  Awareness, education and advocacy on community health and risks of such potential toxic materials will be undertaken during project implementation.  Batteries with aqueous electrolyte emit hydrogen due to electrolysis this electrolyte. This especially occurs at the end of charging and should therefore be taken under certain measures to avoid the risk of explosion. While charging the battery, electric vehicle is connected to the main electric distribution network and should take all precautions to avoid risk of electric shock. | | The PPG phase carried out environmental assessments highlighting potential gaps in policy guidelines/regulation for the disposal or recycling of batteries to ensure health hazards from EV batteries and risks during its operations.  Measures: The project will develop a pilot programme for collection, safe disposal/waste management and recycling of the batteries. (Activity 1.3.3) Stakeholder plan has been developed and training proposed to minimize or avoid any community health risks and safety issues stemming from batteries related issues.  Stakeholder engagement plan and capacity building programme would be developed for sustainable management of the EVs. | |
| Risk 2. Inappropriate location of charging stations without due environmental consideration could lead to adverse impacts to habitats.  .  Standard 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? | P=3  I=3 | Moderate | The selection of the location of the charging station has to be done to avoid flood/ water logging prone areas and ecologically sensitive areas. | | A Targeted Environmental Assessment is required and has been included as part of the project design.  The project would conduct specific “Environmental and social impact assessment” of the proposed charging network expansion. (Activity 3.3.1) and an environmental social management plan will be implemented. | |
| Risk 3: Limited women drivers and lack of equitable opportunities for women in transport sector could mean that the project reproduces those discriminations.  Principle 2: 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? | P=3  I=3 | Moderate | Specific and systematic efforts are required to engage women in transport sector as traditionally, the sector is dominated by men. | | Gender analysis carried out during project development identifies several gaps. The project has gender action plan to address different aspects of gender including enhanced opportunities for women drivers/owners, which will be implementation by the project team. | |
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|  | **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*** | | | **☐** | |  |
| ***Moderate Risk*** | | | **√** | | Two risks are rated moderate and hence the overall project categorisation is considered as moderate. |
| ***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*** | | | **√** | | The risk will be being addressed through a gender action plan implementation. |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | | **√** | | The risk will be addressed through targeted assessments and environmental and social management plan |
| ***2. Climate Change Mitigation and Adaptation*** | | | **☐** | |  |
| ***3. Community Health, Safety and Working Conditions*** | | | **√** | | The risk will be addressed through stakeholder action plan and capacity building and closely monitored during implementation |
| ***4. Cultural Heritage*** | | | **☐** | |  |
| ***5. Displacement and Resettlement*** | | | **☐** | |  |
| ***6. Indigenous Peoples*** | | | **☐** | |  |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **√** | | The risk will be addressed through introducing safe and proper battery disposal, awareness and close monitoring during project implementation. |

**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? | Yes |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  *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 |  |
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| **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* | Yes |
| 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 trans-boundary 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)? | Yes |
| 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, and erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | Yes |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **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? | No |
| **Standard 6: Indigenous Peoples** |  |
| 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 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 [trans-boundary impacts](#TransboundaryImpactsGlossary)? | 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?  *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 |

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)