

## Annex 3 UNDP Social and Environmental Screening Procedure Report

### Project Information

<b>Project Information</b>	
1. Project Title	UPOPs Reduction through BAT/BEP and PPP-based Industry Chain Management in Secondary Copper Production Sector in China
2. Project Number	00094023
3. Location (Global/Region/Country)	China

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

#### QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

##### *Briefly describe in the space below how the Project mainstreams the human-rights based approach*

China's secondary copper production is becoming increasingly important owing to the increased demand for copper metal and decreasing copper mine resources in the world. Increased production, combined with low technology production and primary pre-treatment approaches, predominantly practiced in small and medium size enterprises, is drastically increasing the release of UPOPs in China. Such releases are not only impacting the workers in this sector, but also surrounding communities, impacting the environment and human health at local as well as global level.

To address the negative impact of UPOPs emission on the environment and human health, the project aims to achieve reduction of POPs emission in the secondary copper production sector in China through institutional strengthening, establishment and improvement of policy and enforcement measures, and demonstration of Best Available Techniques (BAT) and Best Environmental Practices (BEP) as well as demonstration of circular economy, Public-Private Partnership (PPP) and centralized park-based industry chain management approach. The experience gained and lessons learned from the demonstration activities will be evaluated, documented and disseminated. A National Replication Programme will be designed and work plan will be established, a series of national and international workshop will be organized to disseminate demonstration results and experience, so as to promote national replication, to encourage all enterprises in the secondary copper production industry to undertake environmentally sound management of chemicals and wastes.

The Universal Declaration of Human Rights proclaimed by the General Assembly contains a number of articles that are closely linked to the scope of the proposed project and will thus ensure that the human rights based approach is mainstreamed in the project.

**Article 3:** "Everyone has the right to life, liberty and security of person" The project will directly contribute to protecting the environment and human health through the demonstrating and introduction of BAT/BEP that will enhance human health in the workplace, lead to reduction of UPOPs emissions that has negative impact, thus the project will contribute to protecting people's right to life;

**Article 23 (1):** "Everyone has the right to work, to free choice of employment, to just and favourable conditions of work and to protection against unemployment" The project, in addition to protecting the environment and enhancing human health, through environmentally sound management of chemicals and wastes, it will also promote technological advantages and market competitiveness of the enterprises, thus maintain and stabilize employment opportunity, and more importantly, in addition to protection against unemployment, it also creates a healthy, safe and favourable working environment.

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

During the PPG phase of this project, considerations were made to include activities to establish occupational protection management system, strengthen key personal security in

the production process, monitoring personal health of workers to establish good management practices, establish personal health records and database. Furthermore effective training system will be established, training for workers will be strengthened, especially for female workers.

In the secondary copper production sector, female workers constitutes a certain proportion of the work force. In the areas of corporate management and particular production and maintenance processes, female tends to work in areas of less physical demand as compared to male workers. In a particular secondary copper production enterprise with about 300 employees, female workers may account for 20% and can be considered as occupying an important portion of the work force. It is therefore necessary to undertake further investigation and assessment on female workers at smelting enterprises during project implementation to assess the impacts of UPOPs emission on workers, in order to reduce the negative health impacts of secondary copper smelting process emission on women.

During project implementation, more than 90% of the female workers at the demonstration enterprises will be targeted for training, and actions will be undertaken to strengthen occupational and health protection and emission exposure management. By reducing UPOPs releases from the secondary copper smelting processing, health risks for female workers and their children will be reduced. The project will ensure female participation in training and capacity building activities. The two overarching interventions – awareness raising and multi-stakeholder’s participation, will contribute to ensuring successful implantation of gender mainstreaming, and the empowerment of women in work place.

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

Both the Government of China and the national implementing agencies are very committed to implement Stockholm Convention and reduce POPs. The non-ferrous metals sector, including the secondary copper sector, is one of the six key industrial sectors targeted for POPs control. It will provide initiatives to mainstream the objectives of the POPs Convention into the nation’s broader development policies and strategies, and on the engagement of a wide range of stakeholders and public authorities throughout the project cycle.

In addition to the strong commitment from the governments, the project will strengthen capacity and knowledge sharing at various levels. It will guarantee that technical and managerial expertise and good practice will really be assimilated by Chinese stakeholders and benefit China sustainably. Alternative technologies demonstrated will generate knowledge and experience that will be shared through a systematic approach by means of a National Replication Programme, with a series of promotional and public awareness activities to encourage and attract enterprises to participate. Environmental sustainability is ensure through the national replication efforts that will lead to achievements of environmentally sound management of chemicals and wastes at all enterprises in the industry.

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

**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)?**


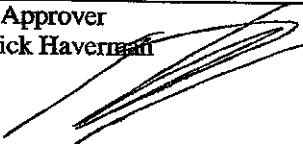

<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>

Risk 1: The management team and workers of demonstration plants are not capable of reporting or sharing POPs information timely and scientifically.	I = 2 P = 1	low		Capacity building is designed as one of the project components to prevent the risk. During project implementation, capacities of enterprises, industries and Local Project Management Office will be strengthened to facilitate effective management and monitoring of the secondary copper sector.
Risk 2: The managers of the demonstration plants will not provide proper and sufficient facilities and measure to protect workers from POPs release, particulate matters and other pollutions.	I = 2 P = 1	low		Variety of trainings on POPs knowledge, occupational protection and on-site management will be organized for the management team and workers. Those measures will increase awareness and capacity of factories managers to put the well-being of the workers in the center of their daily work and supervision. Meanwhile, the workers will be empowered to better protect themselves and safeguard their rights to work in a safe environment.  On-site visits and meetings will be also conducted by UNDP, FECO and local PMOs to examine and supervise whether there is sufficient facilities and measure are in place for the workers.
Risk 3: Failure to select the BAT/BEP that are able to significantly reduce POPs release	I = 2 P = 1	low		To mitigate the risk, a national level characterization study of the sector will be conducted, technical, economic and environmental analysis will be carried out to carefully review technical and financial feasibility of various BAT/BEP options and ensure its applicability to the Chinese secondary copper production sector, BAT/BEP guidelines will be formulated. In addition, a set of selection criteria has been developed and agreed upon among all stakeholders to ensure that participating enterprises have sufficient financial resources and technical capacity to carry out investment activities. Extensive stakeholders consultation, coordination and participation will be vigorously pursued starting from project formulation, design through successful implementation of project activities.
Risk 4: ....	I = P =			
[add additional rows as needed]				
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
<b>Select one (see <u>SESP</u> for guidance)</b>			<b>Comments</b>	
<i>Low Risk</i>		<input checked="" type="checkbox"/>		
<i>Moderate Risk</i>		<input type="checkbox"/>		
<i>High Risk</i>		<input type="checkbox"/>		

<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>		
<b>Check all that apply</b>		<b>Comments</b>
<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>	
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>	
<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>	<input checked="" type="checkbox"/>	
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
<i>7. Pollution Prevention and Resource Efficiency</i>	<input checked="" type="checkbox"/>	

**Final Sign Off**

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Signature	Date	Description
QA Assessor Hong Yun 		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 Patrick Haverman 		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 Carsten Gemmer 		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>	<b>Answer (Yes/No)</b>
<b>Principles 1: Human Rights</b>	
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>1</sup>	NO
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	NO
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	NO
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	YES
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
<b>Principle 2: Gender Equality and Women's Empowerment</b>	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	NO
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	NO
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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	NO
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	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	NO

<sup>1</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

to Standard 5)	
1.4 Would Project activities pose risks to endangered species?	NO
1.5 Would the Project pose a risk of introducing invasive alien species?	NO
1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?	NO
1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	NO
1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	NO
1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	NO
1.10 Would the Project generate potential adverse transboundary or global environmental concerns?	NO
1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	NO
<b>Standard 2: Climate Change Mitigation and Adaptation</b>	
2.1 Will the proposed Project result in significant <sup>2</sup> greenhouse gas emissions or may exacerbate climate change?	NO
2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	NO
2.3 Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	NO
<b>Standard 3: Community Health, Safety and Working Conditions</b>	
3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	NO
3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during 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?	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	NO

<sup>2</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

and/or individuals (e.g. due to a lack of adequate training or accountability)?	
<b>Standard 4: Cultural Heritage</b>	
4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	NO
4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	NO
<b>Standard 5: Displacement and Resettlement</b>	
5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?	NO
5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	NO
5.3 Is there a risk that the Project would lead to forced evictions? <sup>3</sup>	NO
5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
<b>Standard 6: Indigenous Peoples</b>	
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	NO
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	NO
6.3 Would the proposed Project potentially affect the 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)?  <i>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.</i>	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
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>	
7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	YES
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	YES

<sup>3</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, NO 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.



<p>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?</p> <p><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i></p>	YES
<p>7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?</p>	NO
<p>7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?</p>	YES