**Annex 5**

**SOCIAL AND ENVIRONMENTAL SCREENING**

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | Climate-smart agriculture——Straw returning and soil health promotion in North China Plain and Northeast China |
| 2. Project Number | 00121838 |
| 3 Location (Global/Region/Country) | China |

**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 to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach*** |
| Climate-smart agricultural production is indispensable for sustainable agricultural development in the future, and straw returning is one of its key links. Climate-smart agricultural production is a new concept of agricultural development that can not only mitigate climate change, but also adapt to its adverse effects. The core goal is to sequestrate carbon and reduce emission, stabilize food production, and increase income.  **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 should be considered as a pre-condition for the full enjoyment of human right. The project aims to improve soil health and enhance resilience of soil against climate change as well as support agricultural production to adapt and mitigate climate change in the future, which will contribute to protecting the environment and human health, 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 demonstration and introduction of a scientific straw returning model technologies to improve working quality of the regional straw returning and technology effect, improve soil quality and strengthen the function of carbon emission reduction, will protect the farmers’ health, reduce frequencies and costs of pesticide spraying, and most probably leading to better crop yields and higher profit/income, thus maintain and stabilize employment and income generating opportunities, and more importantly, in addition to protection against unemployment, it also creates a healthy, safe and favourable working environment;  **Article 25 (1)** “Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstance beyond his control”. Through the straw returning technology, integrate the soil tillage technology, nutrient management technology, disease, insect pest control technology, food security for farmers and general public is ensured. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| Emphasize gender equality, recognize the important role that women play in rural production activities, and increase the skills and awareness of left-behind women in participating in the operation and management of agricultural production, so that left-behind women can get more wages without relying on extended working hours, thus alleviating the contradiction between heavy housework and labor production faced by left-behind women. Emphasis on the leading role of project results in rural industrial poverty alleviation and new rural construction. The project will support market analysis and market development (demand), form targeted marketing strategies and industrial chains, and ensure the economic, social and environmental aspects of the transformation of project results benefit every stakeholder. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The project will establish a core demonstration area in the project area, promote the optimization of the technology of straw returning and the establishment of a scientific model of straw returning, integrate pest control technology and straw decomposing technology under the conditions of returning straw to the field, explore the establishment of a socialized service system for straw returning technology, strengthen technical guidance and extension services, propose and promote the technical model of straw returning adapted to the regional characteristics, improve the quality of regional straw returning operations, promote farmland soil health, improve farmland soil quality, strengthen carbon sequestration and emission reduction functions, and contribute to the development of regional green agriculture and the response and mitigation of climate change. Based on the global development plan, the theoretical basis of regenerative agriculture and climate-smart agriculture, as well as a series of policy promotion in China. The goal of this project is to innovate and integrate high-efficiency models, and carry out technology demonstration and promotion to promote the sustainable straw returning in the region, achieve stable food production and increase income, and establish a new model of regionally adaptable climate-smart agriculture, improve the ability of agricultural production to respond to climate change, and contribute to the United Nations 2030 Sustainable Development Goals by carrying out scientific straw returning technology and supporting plant protection, farming, nutrient management and other technologies in the main grain production areas of North plain and Northeast China |

**Part B. Identify and manage social and environmental risks**

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  **Note: Briefly describe the potential social and environmental risks in Annex 1-Risk Screening List (based on any "yes" response). If no risk is found in Annex 1, please pay attention to "No risk identification", and skip to question 4 and select "Low risk". Questions 5 and 6 are 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 to address potential risks (Moderate Risk is Significant)?** | |
| ***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.。*** | |
|  | 1 =3  P =3 |  |  | |  | |
|  | 1 =2  P =2 |  |  | |  | |
|  | 1 =1  P =1 |  |  | |  | |
|  | **UESTION 4: What is the Project risk categorization?** | | | | | |
| **Select one (see for guidance)** | | | | | **Comments** |
| ***Low Risk*** | | | **√** | |  |
| ***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*** | | | **☐** | |  |
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**Final Sign Off**

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| ***Sign*** | ***Date*** | ***Description*** |
| QA Judge |  | 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. |
| Chairman of the Project Evaluation Committee |  | In some cases, the chairman of the UNDP project evaluation committee may also be the quality evaluation approver. The final sign confirms that the SESP is part of the project evaluation and considers the recommendations of the project evaluation committee. |

**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, 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 |  |
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| **Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management** |  |
| * 1. 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. 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 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 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, 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? | No |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour 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 to land, territories? | 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 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? | No |
| **7.2** Will the proposed project generate waste that cannot be recycled, reused or treated in an environmentally and socially reasonable way? | 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 Is there any possibility that hazardous substances in the production, transportation, handling and use of the project activities be discharged into the environment? | No |
| 7.5 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | 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)