# Annex E. UNDP Social and Environmental Screening Procedure

|  |  |
| --- | --- |
| ***Project Information*** |  |
| 1. Project Title | Sustainable management of water resources, rangelands and agro-pastoral perimeters in the Cheikhetti Wadi watershed of Djibouti |
| 1. Project Number | PIMS 5921 - GEF Project ID: 9599 |
| 1. Location | Republic of Djibouti |

**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*** |
| This project will address the three main dimensions of the interrelationship between human rights and environmental protection:   * The environment as a pre-requisite for the enjoyment of human rights, including the rights to life, health, food, water and sanitation. * Certain human rights, especially access to information, participation in decision-making, and access to justice in environmental matters, as essential to good environmental decision-making. * The right to a safe, healthy and ecologically-balanced environment as a human right in itself.   The project aims to uphold human rights while improving environmental sustainability and livelihoods of local communities in the Cheikhetti Wadi watershed of the Dikhil region in Djibouti. The project will facilitate integrated and sustainable management of land and water resources, improve institutional and technical capacity of government agencies and local communities to mitigate pressures on natural resources and address land degradation. The project will ensure the implementation of the human rights-based approach by fostering the full participation of all actors, including local communities, civil society associations and elected representatives at the regional level in the region. The project’s design explicitly upholds the principles of accountability, participation and inclusion, and equality and non-discrimination. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| The project aims to empower women and ensure their active participation in implementation and decision-making processes by: i) adopting a targeted communication, advocacy and awareness raising approach to ensure that messages reach women and that their concerns and priorities are heard and subsequently addressed; ii) consulting women to facilitate their active participation in activities, while ensuring that this not affect other chores; iii) actively involving women in planning and implementation (e.g. regarding location and development of agropastoral farms, choice of crops, identification of IGAs adapted to them and meeting their needs, and every aspect likely to reduce their daily burden including wood and water collection); iv) involving women in the design, dissemination and marketing of energy-efficient cook stoves; v) developing training programs targeting women’s specific activities and fostering their involvement in new activities such as composting and seed collection; vi) making locally managed credit facilities accessible to women for their specific activities. The project will pay special attention to ensuring that women have equitable access rights to resources, especially for female-headed households. The project will furthermore engage the National Union of Women of Djibouti to assure visibility and leverage. Lastly, awareness raising on gender equity will be incorporated into the training of government officials to encourage the implementation of gender-sensitive initiatives beyond the project’s lifespan. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| Environmental sustainability is the primary objective of the project as it is focused on restoration of land productive capacity through increase of aquifer recharge, revegetation, water and soil conservation, establishment of management measures to reduce unsustainable land use and development of alternative options to improve local communities’ livelihoods. The enhanced management of groundwater/ aquifer recharge areas and the development of agricultural plots on the wadi terraces will enhance rainwater recharge over the whole area as well as through the bed of the wadi which will maintain favourable conditions to support the productivity of agropastoral activities and contribute to the environmental sustainability of the project. Water extraction will be informed by studies to ensure they are environmentally sustainable on the longer term. The project openly promotes the sustainable management of natural resources by promoting environmental services that do not negatively affect the resources base. The approach is aligned with the requirement for a precautionary approach to natural resource conservation and to promote climate-resilient objectives. |

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **QUESTION 2: What are the Potential Social and Environmental Risks?** | **QUESTION 3: What is the level of significance of the potential social and environmental risks?** | | | | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks?** |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance*** | ***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.*** |
| **Principle 1: Human Rights**  1.3. Likelihood that the project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups. | **I = 3**  **P = 2** | **Moderate** | The project specifically aims at improving resource governance through an integrated and highly participative approach. | | * The project will apply a human rights based approach and actively engage stakeholders at all levels through targeted communication and outreach efforts (also see Stakeholder Engagement Plan, Annex F); including through Free, Prior and Informed Consent (FPIC) process where relevant. * Establishment of a watershed-level multi-stakeholder management committee, the “Cheikhetti Watershed Integrated Management Board” (CWIMB), which will act as a coordination, monitoring and decision making body for the oversight of the Cheikhetti Watershed Management Plan (CWMP); and establishment of local community structures to support co-management of water and rangeland resources. |
| **Principle 1: Human Rights**  1.5. Risk that duty-bearers do not have the capacity to meet their obligations. | **I = 3**  **P = 3** | **Moderate** – **High** | Stakeholder capacity is generally weak in Djibouti, both within Government Ministries/  Departments/Agencies and at the local community level. | | * The project has a strong focus on increasing skills and knowledge to all stakeholder groups, to enable active and meaningful engagement in project initiatives. * Beside capacity challenges, lack of sufficient political will to facilitate the required levels of transparency and accountability for integrated land management to be effective might be a risk. The steering committee that will be established by the project will contribute to incentivising Government partners through joint accountability mechanisms. |
| **Principle 1: Human Rights**  1.6. Risk that rights-holders do not have the capacity to claim their rights. | **I = 2**  **P = 3** | **Moderate** | Stakeholder capacity is generally weak in Djibouti, especially also at the community level. | | * The project will work to ensure that rights-holders are actively engaged in relevant capacity enhancement, outreach and awareness raining activities. |
| **Principle 3 Environmental Sustainability. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management**  3.1.1 Probability that the project may cause adverse impacts to habitats and/or ecosystems and ecosystem services; 3.1.6 probability that the project may involve harvesting of natural forests, plantation development, or reforestation. | **I = 3**  **P = 2** | **Moderate** | Project-supported reforestation activities are intended to promote ecological and watershed benefits, and as such will involve the introduction of seedlings/ saplings. | | * Care will be taken to use suitable species for reforestation activities and to avoid inadvertent negative ecological impacts. * Use of endemic/local species will be encouraged and IAS safeguards will be applied. * Appropriate, culturally sensitive sustainable resource management approaches will be used to facilitate the establishment of tree plantations. |
| **Principle 3 Environmental Sustainability. Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management**  3.1.8 probability that the project may involve significant extraction, diversion or containment of surface or ground water. | **I = 3**  **P = 2** | **Moderate** | The project includes water management infrastructures and will support mobilization of surface water (e.g. mini-damns, impluvium tanks), which may lead to hydrological changes. An assessment of existing and required water points was done in preparation of the project. | | * Prior to any drilling, a detailed hydrological study will be conducted to assess the water balance of the watershed, and determine adequate sites for water management structures and construction of wells. |
| **Principle 3 Environmental Sustainability. Standard 2: Climate Change Mitigation and Adaptation.**  3.2.2 Possibility that outcomes of the project will be sensitive or vulnerable to potential impacts of climate change. | **I = 2**  **P = 2** | **Low** | Climate change is predicted to result in increased droughts and unreliability of rainfall patterns in the Eastern African region. | | * The project specifically aims to develop systems that emphasize environmental and social economic resilience. * The project will promote climate resilient varieties of trees and crops to reduce socio economic vulnerability of farmers and agro-pastoralists. |
| **Principle 3 Environmental Sustainability. Standard 5: Displacement and Resettlement.**  3.5.4 Probability that the project will affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources. | **I = 5**  **P = 3** | **High** | The project will be active in areas that are largely inhabited by Afar and Somali ethnic groups. They are traditionally nomadic or semi-nomadic, but have established some settlements in the area.  The project specifically aims at improving resource governance with and integrated and participative approach to guarantee fair access for local communities. There is a chance that as a result of project activities, traditionally nomadic community members may choose to settle and focus more on agricultural production rather than nomadic herding of their livestock. | | * Also see response to Principle 1 issue 1.3 above. * Care will be taken to ensure that both Afar and Somali rights, culture and traditions are taken into account during project implementation. * Applicable rights and claims to natural resources will be respected while working closely together with targeted communities to protect biodiversity and strengthen livelihoods. * Livelihood and income-generating activities will be developed in a participatory way, ensuring that both Afar and Somali benefit equitably. * Water and rangeland management committees (WMC and RMC) will be established in a participatory way, and operationalized through capacity enhancement. The WMC and RMCs will include herders, local authorities and religious leaders (imams), and will also ensure adequate representation of women. * The project will furthermore facilitate the development of the Cheikhetti Watershed Management Plan (CWMP) through a participatory and gender responsive planning process, ensuring appropriate representation of key groups in negotiations of stakes and objectives to ensure buy-in and support. * Conflict resolution and grievance mechanisms will be established and implemented in line with UNDP policies, as indicated in the project Stakeholder Engagement Plan. |
| **Principle 3 Environmental Sustainability. Standard 6: Indigenous Peoples**  3.6.1 Indigenous peoples are present in the project area; and 3.6.2 project activities will take place on lands and territories claimed by indigenous peoples; 3.6.3 the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples may be affected; 3.6.5 project activities involve utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples. | **I = 5**  **P = 3** | **High** |
|  | **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*** | | | **☐** |  |
| ***High Risk*** | | | **X** |  |
|  | **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*** | | | **X** | Safeguards will be put in place to protect rights-holders and ensure human-rights best practices. This will include community-based grievance redress mechanisms. |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | | | **X** | Gender Analysis Action Plan will be implemented. |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | | **X** | Capacity enhancement will be supported and monitored to ensure that all partners respect rights-holders access as well as sustainable use of natural resources. |
| ***2. Climate Change Mitigation and Adaptation.*** | | | **X** | Project activities aim to contribute to increased environmental as well as socioeconomic resilience. |
| ***3. Community Health, Safety and Working Conditions*** | | | **☐** |  |
| ***4. Cultural Heritage*** | | | **☐** |  |
| ***5. Displacement and Resettlement*** | | | **X** |  |
| ***6. Indigenous Peoples*** | | | **X** | Safeguards are and will continue to be put in place to protect rights-holders and ensure best practices. |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **☐** |  |

**Final Sign Off**

|  |  |  |
| --- | --- | --- |
| ***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**

|  |  |
| --- | --- |
| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer  (Y/N)** |
| 1.1. 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? | **N** |
| 1.2. 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) | **N** |
| 1.3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | **Y** |
| 1.4. 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? | **N** |
| 1.5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | **Y** |
| 1.6. Is there a risk that rights-holders do not have the capacity to claim their rights? | **Y** |
| 1.7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | **N** |
| 1.8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | **N** |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 2.1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls? | **N** |
| 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? | **N** |
| 2.3. 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? | **N** |
| 2.4. 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* | **N** |
| **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** |  |
| 3.1.1 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* | **Y** |
| 3.1.2 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? | **N** |
| 3.1.3 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)* | **N** |
| 3.1.4 Would Project activities pose risks to endangered species? | **N** |
| 3.1.5 Would the Project pose a risk of introducing invasive alien species? | **N** |
| 3.1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | **Y** |
| 3.1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | **N** |
| 3.1.8 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* | **Y** |
| 3.1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | **N** |
| 3.1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | **N** |
| 3.1.11 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? | **N** |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 3.2.1 Will the proposed Project result in significant[[2]](#footnote-2) greenhouse gas emissions or may exacerbate climate change? | **N** |
| 3.2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | **Y** |
| 3.2.3 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* | **N** |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | **N** |
| 3.3.2 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)? | **N** |
| 3.3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | **N** |
| 3.3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | **N** |
| 3.3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | **N** |
| 3.3.6 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)? | **N** |
| 3.3.7 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? | **N** |
| 3.3.8 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)? | **N** |
| 3.3.9 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)? | **N** |
| **Standard 4: Cultural Heritage** |  |
| 3.4.1 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) | **N** |
| 3.4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | **N** |
| **Standard 5: Displacement and Resettlement** |  |
| 3.5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | **N** |
| 3.5.2 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)? | **N** |
| 3.5.3 Is there a risk that the Project would lead to forced evictions?[[3]](#footnote-3) | **N** |
| 3.5.4 Would the proposed Project possibly affect land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources? | **Y** |
| **Standard 6: Indigenous Peoples** |  |
| 3.6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | **Y** |
| 3.6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | **Y** |
| 3.6.3 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.* | **Y** |
| 3.6.4 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? | **N** |
| 3.6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | **Y** |
| 3.6.6 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? | **N** |
| 3.6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | **N** |
| 3.6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | **N** |
| 3.6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | **N** |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 3.7.1 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)? | **N** |
| 3.7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | **N** |
| 3.7.3 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* | **N** |
| 3.7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | **N** |
| 3.7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | **N** |

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)