

Social and Environmental Screening Template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

Project Information

Project Information	
1. Project Title	Promoción de medidas que aporten al fortalecimiento de la eficiencia energética, energías limpias y calidad ambiental en el sector eléctrico
2. Project Number	00117181
3. Location (Global/Region/Country)	Ecuador

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?
<p>Briefly describe in the space below how the project mainstreams the human rights-based approach</p> <p>El objetivo principal del Proyecto es fortalecer la gestión de la Empresa Eléctrica Quito (EEQ) en el manejo de PCBs; apoyar a la EEQ en la promoción de la electromovilidad sostenible en la ciudad de Quito y zonas de influencia; fortalecer los talleres y laboratorios y generar conocimiento. La Declaración Universal de Derechos Humanos proclamada por la Asamblea General, contiene una serie de artículos que están estrechamente vinculados al alcance del proyecto propuesto. Estos artículos que garantizarán que el enfoque basado en los derechos humanos se integre en el proyecto son los siguientes:</p> <p>Artículo 3 Toda persona tiene derecho a la vida, la libertad y la seguridad de la persona. Eliminando las sustancias químicas peligrosas (PCB) se atribuye directamente en el bienestar humano y de la naturaleza.</p> <p>Artículo 21 Toda persona tiene derecho a igual acceso a los servicios públicos en su país. Al mejorar las capacidades de la EEQ, el servicio mejora y se puede brindar un mejor servicio público.</p>
<p>Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment</p> <p>Dado que la naturaleza del Proyecto se basa en el fortalecimiento de la gestión de la EEQ en las técnicas ramas de: manejo de sustancias químicas peligrosas, fortalecimiento de talleres y laboratorios, y promoción de la electromovilidad, no se prevé espacios específicos relacionados con equidad de género y empoderamiento de la mujer. Sin embargo, se propondrá a la Gerencia de la EEQ ampliar el alcance de las acciones e incluir iniciativas que promuevan el enfoque de género en el sector eléctrico.</p>

Briefly describe in the space below how the project mainstreams sustainability

Con el objetivo de fomentar y promover la eficiencia energética, uso de energías limpias y calidad ambiental en el sector eléctrico, la EEQ impulsa tres sub proyectos: eliminación de sustancias químicas presentes en equipos eléctricos, promover la electro movilidad sostenible y el fortalecimiento de talleres y laboratorios eléctricos dentro de las áreas de competencia de la EEQ.

Los siguientes desafíos de desarrollo contribuyen a la sostenibilidad ambiental:

1. Uso de sustancias químicas peligrosas en el sector eléctrico.

La necesidad de la EEQ de trabajar en la gestión ambientalmente racional de los Policlorobifenilos o Bifenilos Policlorados (PCB) en Ecuador fue motivada por la ratificación del país al Convenio de Estocolmo en junio de 2004. El Convenio regula y busca la eliminación de los Contaminantes Orgánicos Persistentes (COP). Los PCB son un tipo de COP y han sido utilizados principalmente como intercambiadores de calor y fluidos eléctricos presentes en muchos de los transformadores que han sido almacenados en algunos casos y otros que aún están siendo utilizados por la EEQ. Es por esto que, para la EEQ la manipulación, almacenamiento y desecho de contaminantes persistentes peligrosos darán cabida a un manejo de desecho adecuado del mismo, para que los empleados de la EEQ y ciudadanos puedan gozar de su derecho a vivir en un ambiente sano.

2. Consumo de energía en el país

En los últimos 10 años, Ecuador registró una tasa de crecimiento promedio anual de 4% en el consumo de energía. Según cifras del Balance Energético 2014, el sector de transporte tiene un 49% de consumo de energía por sector. Este consumo está constituido por: gasolina, diésel, fuel oil, para transporte marítimo; kerosene y jet fuel; electricidad y gas licuado (GLP) utilizados para transporte terrestre. Es así como se evidencia la necesidad de fomentar la electromovilidad sostenible no solo en Quito, sino a nivel nacional y de esta manera fomentar e incentivar el consumo de energías renovables ayudando a la creación de nuevos nichos de mercado que fomenten este tipo de movilidad que atribuya en disminuir los efectos negativos al medio ambiente.

3. Mejoramiento de la infraestructura en el sector eléctrico

El equipamiento de los talleres y laboratorios eléctricos, con tecnología moderna permitirá a la EEQ brindar mejores servicios a sus usuarios, a que la EEQ pueda acceder a certificaciones internacionales y además, a que otras empresas eléctricas puedan acceder al uso de estas instalaciones y también puedan acceder a certificaciones internacionales que potencien el consumo de energías renovables y limpias, de esta manera cambia el modelo actual de una economía basada en recursos naturales no renovable, contribuyendo de manera directa a la mitigación del cambio climático.

El abordaje integral del Proyecto busca consolidar todas las necesidades que apoye el fortalecimiento de todos los aspectos mencionados que conllevarán a un mejoramiento de la calidad del ambiente en la ciudad y sus alrededores y por ende de la salud de sus habitantes y trabajadores de la EEQ.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			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, Substantial, 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.
Riesgo 1: El proyecto podría presentar riesgos potenciales a la salud y seguridad de la comunidad debido al transporte, almacenamiento y uso y / o eliminación de materiales o desechos peligrosos.	I = 2 P = 2	Low	El proyecto incluye un componente que busca reducir los niveles de bifenilos policlorados (PCBs) contenidos en transformadores y equipos de la EEQ. Si dichas sustancias no son debidamente gestionadas / almacenadas/ desechadas de forma segura, esto podría crear impactos adversos a salud comunitaria y aquellos personas y trabajadores que entran en estrecho contacto con estos tipos de sustancias.	No se requiere ningún tipo de evaluación ni medidas de gestión al momento del diseño; pues justamente lo que busca el proyecto es la gestión ambientalmente racional de los PCBs, incluyendo su eliminación. Cumplimiento de los compromisos adoptados por los países miembros de la ONU para reducir o eliminar las emisiones de PCB; así como de los mecanismos nacionales para los casos que aplique. Se buscará también fortalecer la capacidad institucional de las empresas públicas y privadas para una gestión racional y ambiental de estos agentes químicos.
Riesgo 2: El Proyecto podría presentar potencial riesgo y vulnerabilidades relacionados con la salud y seguridad ocupacional debido a la exposición a	I = 3 P = 2	Low	El proyecto incluye un componente que busca reducir los niveles de bifenilos policlorados (PCBs) contenidos	No se requiere ningún tipo de evaluación ni medidas de gestión al momento del diseño; pues justamente lo que busca el proyecto es la gestión ambientalmente racional de los PCBs, incluyendo su eliminación.


<p>sustancias peligrosas durante su operación.</p>			<p>en transformadores y equipos de la EEQ.</p> <p>Si dichas sustancias no son debidamente gestionadas / almacenadas/ desechadas de forma segura, esto podría crear riesgos de afectación a la salud ocupacional de los trabajadores que entran en estrecho contacto con estos tipos de sustancias.</p> <p>Por otro lado, el proyecto también busca aportar al fortalecimiento de Laboratorios y Talleres de la EEQ. Falta de fortalecimiento en capacidades de seguridad, salud y ambiente para el personal de talleres y laboratorios podría implicar un riesgo.</p>	<p>Cumplimiento de los compromisos adoptados por los países miembros de la ONU para reducir o eliminar las emisiones de PCB; así como de los mecanismos nacionales para los casos que aplique. Se asegurará la debida capacitación y equipamiento para las personas que realicen dichas actividades.</p> <p>Cumplimiento y auditoria del plan de manejo ambiental y seguridad industrial. Y fortalecimiento en programas de normalización en laboratorios.</p>
<p>Riesgo 3: El Proyecto potencialmente resultaría en la liberación de contaminantes al medio ambiente debido a actividades rutinarias o no rutinarias con el potencial de impactos adversos locales, regionales y / o transfronterizos.</p>	<p>I = 2 P =2</p>	<p>Low</p>	<p>El proyecto incluye un componente que busca reducir los niveles de bifenilos policlorados (PCBs) contenidos en transformadores y equipos de la EEQ.</p> <p>Si dichas sustancias no son debidamente transportadas y eliminadas podrían generar liberación de contaminantes al medio ambiente.</p>	<p>Cumplimiento de los compromisos adoptados por los países miembros de la ONU para reducir o eliminar las emisiones de PCB; así como de los mecanismos nacionales para los casos que aplique.</p>
<p>Riesgo 4: El Proyecto podría potencialmente resultar en la generación de desechos peligrosos y no peligrosos.</p>	<p>I = 2 P =2</p>	<p>Low</p>	<p>El proyecto incluye un componente que busca reducir los niveles de bifenilos</p>	<p>Cumplimiento de los compromisos adoptados por los países miembros de la ONU para reducir o eliminar las emisiones de PCB; así como de los mecanismos nacionales</p>

			<p>policlorados (PCBs) contenidos en transformadores y equipos de la EEQ.</p> <p>Si dichas sustancias no son debidamente transportadas y eliminadas podrían generar liberación de contaminantes al medio ambiente</p>	para los casos que aplique.
Riesgo 5: El Proyecto implica la gestión y manejo de PCBs que constituyen sustancias peligrosas establecidas en el Convenio de Estocolmo (COPS).	I = 2 P = 3	Low	El proyecto incluye un componente que busca reducir justamente los bifenilos policlorados (PCBs) considerados como un componente orgánico persistente en el Convenio de Estocolmo. El proyecto aporta a las metas del país de eliminación del PCBs del sector eléctrico.	Cumplimiento de los compromisos adoptados por los países miembros de la ONU para reducir o eliminar las emisiones de PCB; así como de los mecanismos nacionales para los casos que aplique.
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)		Comments	
	<i>Low Risk</i>		<input checked="" type="checkbox"/>	
	<i>Moderate Risk</i>		<input type="checkbox"/>	
	<i>High Risk</i>		<input type="checkbox"/>	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
	Check all that apply		Comments	
	<i>Principle 1: Human Rights</i>		<input 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"/>	

5. Displacement and Resettlement	<input type="checkbox"/>	
6. Indigenous Peoples	<input type="checkbox"/>	
7. Pollution Prevention and Resource Efficiency	<input checked="" type="checkbox"/>	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

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 (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	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.	Are there measures or mechanisms in place to respond to local community grievances?	No
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	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
3.	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
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		

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.

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 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? <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
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant 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)? <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
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

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.]

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, 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	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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No

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.

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
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	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
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
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? <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>	Yes
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