**Annex F: UNDP Social and Environmental and Social Screening Template (SESP)**

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | **Micronesia Public Sector Buildings Energy Efficiency (MPSBEE) Project** |
| 1. Project Number | **PIMS 5597** |
| 1. Location (Global/Region/Country) | **Federated States of Micronesia** |

**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*** |
| There are no specific activities in this proposed project that specifically focus on human rights promotion since this is a project on sustainable energy utilization. Nonetheless, human-rights principles were considered, and integrated into the project during its design. Prior informed consent of all beneficiaries will also be facilitated during the project design. In that regard, the target beneficiaries, e.g., the public sector buildings occupants/tenants, private sector, and state institutions will be properly consulted through stakeholder consultation processes that promote gender inclusive participatory approaches involving men, women, and youth. During the design phase, the project development team met with public sector building managers and building practitioners in the 4 states, and the state utilities to discuss potential EC&EE demonstrations. In their respective, State Energy Action Plan, each state utility plans and implements projects in both supply and demand side management. The project includes an assessment of the interest of these stakeholders in such initiatives emphasizing the importance of each key players in the successful promotion of the widespread application of EC&EE technologies in buildings. A follow-up feasibility study and detailed energy audit for each of the host demonstration buildings will also consider any pertinent socio-cultural aspects that need to be considered. This will inform implementation of project activities and where any appropriate fine-tuning of plans that would be necessary. Doing these will in the end contribute to human social and environmental well-being in the public sector buildings in FSM. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| It is anticipated that the proposed UNDP-GEF project will impact gender equality and women’s empowerment in a positive way. It presents opportunities for the involvement of women working in management and technical units of government (national and state) institutions. During the project design, the principles of gender equality and women’s empowerment were considered. Where feasible opportunities are present, the project implementation will involve the deployment of professional and technically qualified women working in public and private establishments in the national capital region, as well as those in the different states. It is important to ensure that benefits from the enabling conditions that facilitate EC&EE initiatives are enjoyed by both women and men. The project activities will be implemented considering the opportunity for the country to further enhance the role of women in deployment of EC&EE technologies and techniques and come up with gender-sensitive policies in the public sector buildings, recognizing the possible contributions of women in the management and implementation of climate change mitigation measures. High rates of women participation will be targeted in the implementation of the project’s capacity development activities. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| The proposed project is expected to stimulate actions in the buildings sector that will lead to GHG emission reductions and therefore contribute not only to the achievement of FSM’s climate change mitigation targets as spelled out in the country’s NDC. The project is expected to bring about local benefits mainly through contributions to the improvement of the specific energy consumption of public sector buildings, and indirectly also contribute to the protection of the natural environment. The anticipated reduction in energy demands (due to more energy efficient operation of public sector buildings) will result in lesser diesel fuel used in power generation, and in that regard, reduced GHG emissions from the state utilities. The global environmental benefits from the project will mainly come from such GHG emission reductions. These will be facilitated by the barrier removal approach that this project will employ. Environmental sustainability will also be assured through the synergistic aspect of the integrated way the key stakeholders will be working together, and the higher chances of scaling-up/replication of the EC&EE technologies and techniques/practices that will be introduced, demonstrated, and promoted under the project. |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | | | | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance***  ***(Low, Moderate, High)*** | ***Comments*** | | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** |
| EE retrofits that will be done in the demos may result in negative impacts if the disposal or the management of the handling of replaced EE and non-EE items are done improperly. | I = 3  P = 2 | Moderate | There will be EC&EE technology demonstration activities in this project. These demos will be designed in line with the relevant building best practices (construction and operation) and environmental requirements. | | The environmental and social concerns that may arise from the project are manageable and easily controlled during the project implementation. Most of the demos will be carried out indoors and will be carried out in compliance with best practice occupational safety, health, and environment (OSHE) requirements. Based on the Environmental and Social Management Plan (ESMP) that will be prepared during the project inception phase, these demos will be designed not only to ensure that the intended positive impacts (energy savings) are realized but also in such a way that the emergence of potential negative impacts are brought to the minimum, if not completely avoided. The potential downstream impacts will also be assessed as to the likelihood of these happening and determining the factors that would contribute to them from happening. The project design (particularly during the logical framework analysis) considered such factors and where possible and applicable came up with the relevant activities that will adequately address them. |
| Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials. | I = 3  P = 2 | Moderate | The demos will involve the replacement of existing building materials, appliances and devices used in the demo buildings. The design of the demos shall include facilitating the best practice recycling or disposal of such waste items. | | To prevent potential downstream impacts, possible issues concerning the proper disposal or recycling of existing building materials and devices/appliances will be addressed.   * Old and busted CFLs and FLs that are replaced by LED lamps – in regard to proper handling and recycling of Hg * Old and energy inefficient AC and refrigerator units – in regards proper handling and disposal of refrigerants (including foam/insulation) will be undertaken. * Waste building materials – in regards health issues concerning dusts and particulate matter   Based on the ESMP that will be prepared during the project inception phase, the capacity building on the application of new EC&EE techniques and practices in public sector buildings shall be designed to also include the proper (i.e., safe, and environment-friendly) handling and disposal of waste and recyclable materials. The demonstrations that will be featured in this project shall be designed and implemented taking into consideration the need to reduce environmental impacts in the application of EC&EE technologies in public sector buildings. |
| 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. | I = 3  P = 2 | Moderate | The design of the demos shall include facilitating the proper disposal of replaced non-EE materials in public buildings as required by law. | | Guided by the ESMP that will be prepared during the project inception phase, the EC&EE capacity development activities of the project shall include the proper handling and disposal of waste. The demos that will be featured in this project shall be designed and implemented taking into consideration the need to reduce environmental impacts in the application of EC&EE technologies in public sector buildings. |
| Potentially result in the generation of waste (both hazardous and non-hazardous) | I = 3  P = 2 | Moderate | The EE retrofit activities may include replacement of existing building materials, appliances and devices used in the demo buildings. The EE retrofit designs shall include facilitating the best practice disposal of such waste items. | | Per the ESMP that will be prepared during the project inception phase, the design and implementation of the EE retrofits will consider possible issues on the disposal or recycling of existing building materials and devices/appliances such as old and busted CFLs and FLs that are replaced by LED lamps (Hg issue); old and energy inefficient AC and refrigerator units (banned refrigerants issue); and, building debris (dust and PM issue). The facilitation of the proper disposal of waste materials from building retrofits will be part and parcel of the EE retrofit demos, and in the EC&EE technology application guidelines that will be developed and recommended to public sector building managers/administrators. |
| Potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials. | I = 3  P = 2 | Moderate | The design of the EE retrofit activities will consider the proper handling of replaced old AC and refrigeration units that may still use already banned refrigerants. | | The proper disposal of the replaced old RAC units will be observed. The ESMP will include recommended actions to carry this out in an objective and scientific manner. The potential illegal reuse of old RAC units will be reported to the proper authorities. |
| Potential discriminations against women based on gender, especially regarding participation in the implementation of the project activities. | I = 3  P = 2 | Moderate | Although the project design has considered gender sensitivity, the IP may be remiss in ensuring that this be followed in the selection of people who will be working in the implementation of the project activities. | | A gender analysis was conducted during the PPG, and a Gender Action Plan prepared. |
| Project demo activities may potentially affect the interests (including sentiments and practices) of some indigenous peoples (i.e., people of FSM). | I = 4  P = 1 | Moderate | Most of the FSM population are indigenous Micronesians. The project will involve the installation in existing public buildings of modern, improved and EE lighting and air conditioning systems that may have potential concerns with some building occupants who are used to, or already satisfied with, the existing traditional and energy inefficient building systems. | | The specific nature of the potential impacts (positive and/or negative) will be further assessed during the project inception phase as part of the assessments for preparation of the ESMP; the applicability of SES requirements under Standard 6 (e.g. an Indigneous Peoples Plan; Free Prior and Informed Consent) will be confirmed at that stage. All confirmed requirements will be captured in the ESMP and/or in an updated Stakeholder Engagement Plan. |
| The implementation of the project activities may be affected if the Covid-19 pandemic persists, due to mitigating measures that will be carried out to prevent potential increased health risks in the project sites. | I = 3  P = 1 | Low | In the event the Covid epidemic will persist until the time the project is implemented, the proven effective measures and approaches that were carried out in project implementation during the pandemic in the other PICs will be adopted. | |  |
| Extreme climate events brought about or exacerbated by climate change may affect the implementation of the project. | I = 2  P = 1 | Low | The project will address the low, indirect risk of project activities implementation delays due to extreme climate events in accordance with established government safety and emergency procedures. | |  |
|  | **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*** | | | **☐** |  |
|  | **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*** | | | **√** | Some indirect negative impacts that can be avoided with proper regulatory compliance, or addressed with proper application of standard best practices |
| ***4. Cultural Heritage*** | | | **☐** |  |
| ***5. Displacement and Resettlement*** | | | **☐** |  |
| ***6. Indigenous Peoples*** | | | **√** |  |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **√** | Same as in Item 3 above. |

**Final Sign Off**

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| ***Signature*** | ***Date*** | ***Description*** |
| QA Assessor |  | UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted. |
| QA Approver |  | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD)**,** Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC. |
| PAC Chair |  | UNDP chair of the PAC. In some cases, PAC Chair, may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC. |

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

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| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer  (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social, or cultural) of the affected population and particularly of marginalized groups? | No |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[1]](#footnote-1) | No |
| 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | No |
| 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them? | No |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | No |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights? | No |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | No |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls? | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | Yes |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being* | No |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
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| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | 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? | Yes |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?  *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | Yes |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, and erosion, flooding, or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | Yes |
| 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 labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional, or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect, and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[3]](#footnote-3) | No |
| 5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | No |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  *If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.* | No |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories, and traditional livelihoods of the indigenous peoples concerned? | Yes |
| 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? | Yes |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [trans-boundary impacts](#TransboundaryImpactsGlossary)? | 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?  *For example, DDT, PCBs, and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol* | 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 |

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 regard 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)