## Annex V. Environmental and Social Screening Procedure Report

**QUESTION 1:**

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| **Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?**  Select answer below and follow instructions:  X **NO** → Continue to Question 2 (do not fill out Table 1.1)   * **YES** → No further environmental and social review is required if the existing documentation meets UNDP’s quality assurance standards, and environmental and social management recommendations are integrated into the project. Therefore, you should undertake the following steps to complete the screening process:   1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the Project Developer and other relevant Focal Points in the office or Bureau).  2. Ensure that the Project Document incorporates the recommendations made in the implementing partner’s environmental and social review.  3. Summarise the relevant information contained in the implementing partner’s environmental and social review in Annex A.2 of this Screening Template, selecting Category 1.  4. Submit Annex A to the PAC, along with other relevant documentation.  **Note: Further guidance on the use of national systems for environmental and social assessment can be found in Annex B.** |
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| TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL ASSESSMENT | Yes/No |
| 1.  Does the assessment/review meet its terms of reference, both procedurally and substantively? |  |
| 2.  Does the assessment/review provide a satisfactory assessment of the proposed project? |  |
| 3.  Does the assessment/review contain the information required for decision-making? |  |
| 4.  Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures)? |  |
| 5.  Does the assessment/review identify capacity needs of the institutions responsible for implementing environmental and social management issues? |  |
| 6. Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women? |  |
| 7.  Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues? |  |
| Table 1.1 (continued) For any “no” answers, describe below how the issue has been or will be resolved (e.g. amendments made or supplemental review conducted). | |
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**QUESTION 2:**

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| **Do all outputs and activities described in the Project Document fall within the following categories?**   * Procurement (in which case UNDP’s [Procurement Ethics](http://content.undp.org/go/userguide/cap/procurement/ethics/?lang=en#top) and [Environmental Procurement Guide](http://www.undp.org/procurement/documents/UNDP-SP-Practice-Guide-v2.pdf) need to be complied with) * Report preparation * Training * Event/workshop/meeting/conference (refer to [Green Meeting Guide](http://www.greeningtheblue.org/resources/meetings)) * Communication and dissemination of results   Select answer below and follow instructions:  X **NO** → Continue to Question 3   * **YES** → No further environmental and social review required. Complete Annex A.2, selecting Category1, and submit the completed template (Annex A) to the PAC. |

**QUESTION 3:**

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| **Does the proposed project include activities and outputs that support *upstream* planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)?(Note that *upstream* planning processes can occur at global, regional, national, local and sectoral levels)**  Select the appropriate answer and follow instructions:   * **NO** → Continue to Question 4.   X **YES** →Conduct the following steps to complete the screening process:  1. Adjust the project design as needed to incorporate UNDP support to the country(ies), to ensure that environmental and social issues are appropriately considered during the upstream planning process. Refer to Section 7of this Guidance for elaboration of environmental and social mainstreaming services, tools, guidance and approaches that may be used.  2. Summarise environmental and social mainstreaming support in Annex A.2, Section C of the Screening Template and select ”Category 2”.  3. If the proposed project ONLY includes upstream planning processes then screening is complete, and you should submit the completed Environmental and Social Screening Template (Annex A) to the PAC. If downstream implementation activities are also included in the project then continue to Question 4. |

| TABLE 3. 1 EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS | Check appropriate box(es) below |
| --- | --- |
| 1. Support for the elaboration or revision of global- level strategies, policies, plans, and programmes.   *For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.* |  |
| 1. Support for the elaboration or revision of regional-level strategies, policies and plans, and programmes.   *For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).* | X |
| 3. Support for the elaboration or revision of national-level strategies, policies, plans and programmes.  *For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.* | X |
| 4. Support for the elaboration or revision of sub-national/local-level strategies, polices, plans and programmes.  *For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and methods, stakeholder engagement.* | X |

**QUESTION 4:**

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| **Does the proposed project include the implementation of *downstream* activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?**  To answer this question, you should first complete Table 4.1 by selecting appropriate answers. If you answer “No” or “Not Applicable” to all questions in Table 4.1 then the answer to Question 4 is “NO.” If you answer “Yes” to any questions in Table 4.1 (even one “Yes” can indicated a significant issue that needs to be addressed through further review and management) then the answer to Question 4 is “YES”:  \_ **NO** → No further environmental and social review and management required for downstream activities. Complete Annex A.2 by selecting “Category 1”, and submit the Environmental and Social Screening Template to the PAC.  **X YES**→ Conduct the following steps to complete the screening process:  1. Consult Section 8of this Guidance, to determine the extent of further environmental and social review and management that might be required for the project.  2. Revise the Project Document to incorporate environmental and social management measures. Where further environmental and social review and management activity cannot be undertaken prior to the PAC, a plan for undertaking such review and management activity within an acceptable period of time, post-PAC approval (e.g. as the first phase of the project) should be outlined in Annex A.2.  3. Select “Category 3” in Annex A.2, and submit the completed Environmental and Social Screening Template (Annex A) and relevant documentation to the PAC. |

| TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT | |
| --- | --- |
| 1. Biodiversity and [Natural](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#SustNatResManGlossary) Resources | Answer  (Yes/No/Not Applicable) |
| 1.1 Would the proposed project result in the conversion or degradation of [modified habitat](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#HabitatGlossary), [natural habitat](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#HabitatGlossary) or [critical habitat](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#CriticalHabitatGlossary)? | No |
| 1.2 Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity? | No |
| 1.3 Would the proposed project pose a risk of introducing invasive alien species? | No |
| 1.4 Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management (*e.g.* [PEFC](http://www.pefc.org/)*, the* [Forest Stewardship Council](http://www.fsc.org/) *certification systems, or processes established or accepted by the relevant National Environmental Authority*)? | No |
| 1.5 Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (*e.g. the* [Marine Stewardship Council certification](http://www.msc.org/) *system or certifications, standards, or processes established or accepted by the relevant National Environmental Authority*)? | No |
| 1.6 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 |
| 1.7 Does the project pose a risk of degrading soils? | No |
| 2. Pollution | Answer  (Yes/No/Not Applicable) |
| 2.1 Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and [trans-boundary impacts](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#TransboundaryImpactsGlossary)? | No |
| 2.2 Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an [environmentally and socially sound manner](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#ESMGlossary)? | No |
| 2.3 Will the propose project involve the manufacture, trade, release, and/or use of chemicals and [hazardous materials](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#HazardousMatGlossary) subject to international action bans or phase-outs?  *For example, DDT, PCBs and other chemicals listed in international conventions such as the* [Stockholm Convention on Persistent Organic Pollutants](http://chm.pops.int/Convention/tabid/54/language/en-US/Default.aspx#convtext)*, or the Montreal Protocol.* | No |
| 2.4 Is there a potential for the release, in the environment, of [hazardous materials](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#HazardousMatGlossary) resulting from their production, transportation, handling, storage and use for project activities? | No |
| 2.5 Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health? | No |
| 3. Climate Change | Answer  (Yes/No/Not Applicable) |
| 3.1 Will the proposed project result in significant[[1]](#footnote-1)greenhouse gas emissions?  *Annex E provides additional guidance for answering this question.* | No |
| 3.2 Is the proposed project likely to directly or indirectly increase environmental and social [vulnerability to climate change](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)? You can refer to the additional guidance in Annex C to help you answer this question.  *For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population’s vulnerability to climate change, specifically flooding.* | No |
| 4. Social Equity and Equality | Answer  (Yes/No/Not Applicable) |
| 4.1 Would the proposed project have environmental and social impacts that could affect indigenous people or other vulnerable groups? | Yes |
| 4.2 Is the project likely to significantly impact gender equality and women’s empowerment[[2]](#footnote-2)? | Yes |
| 4.3 Is the proposed project likely to directly or indirectly increase social inequalities now or in the future? | No |
| 4.4 Will the proposed project have variable impacts on women and men, different ethnic groups, social classes? | Yes |
| 4.5 Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process? | No |
| 4.6 Will the project have specific human rights implications for vulnerable groups? | No |
| 5. Demographics | Answer  (Yes/No/Not Applicable) |
| 5.1 Is the project likely to result in a substantial influx of people into the affected community (ies)? | No |
| 5.2 Would the proposed project result in substantial voluntary or involuntary resettlement of populations?  *For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.* | No |
| 5.3 Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project?  *For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and social impacts (e.g. destruction of the area’s ecology, noise pollution, waste management problems, greater work burden on women).* | No |
| 1. Culture | Answer  (Yes/No/Not Applicable) |
| 6.1 Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles? | Yes |
| 6.2 Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognised cultural claims? | No |
| 6.3 Would the proposed project produce a physical “splintering” of a community?  *For example, through the construction of a road, power line, or dam that divides a community.* | No |
| 1. Health and Safety |  |
| 7.1 Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?  *For example, development projects located within a floodplain or landslide prone area.* | No |
| 7.2 Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection? | No |
| 7.3 Will the proposed project require additional health services including testing? | No |
| 1. Socio-Economics | Answer  (Yes/No/Not Applicable) |
| 8.1 Is the proposed project likely to have impacts that could affect women’s and men’s ability to use, develop and protect natural resources and other natural capital assets?  *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?* | Yes |
| 8.2 Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns? | Yes |
| 8.3 Is the proposed project likely to negatively affect the income levels or employment opportunities of vulnerable groups? | No |
| 9. Cumulative and/or Secondary Impacts | Answer  (Yes/No/Not Applicable) |
| 9.1 Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project?  *For example, future plans for urban growth, industrial development, transportation infrastructure, etc.* | No |
| 9.2 Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate [cumulative impacts](file:///C:/Users/E.M.%20Mwangi/Documents/UNDP/Draft%20baseline%20report_part%204.docx#CumulativeImpactsGlossary) with other known existing or planned activities in the area?  *For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed “secondary” or “consequential” impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.* | No |

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1. **ANNEX A.2: ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY**

**(To be filled in after Annex A.1 has been completed)**

**Name of Proposed Project: *Increasing Connectivity in the Central Forest Spine (CFS) Landscape – IC-CFS***

**A. Environmental and Social Screening Outcome**

Select from the following:

\_ Category 1. No further action is needed

\_ Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.

X Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:

X Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b).

* Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate.

**B. Environmental and Social Issues** (for projects requiring further environmental and social review and management)

In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. You should use the answers you provided in Table 4.1 as the basis for this summary, as well as any further review and management that is conducted.

The project’s objective is to increase federal and state level capacity to execute the CFSMP through the strengthening of institutional and operational structures and the piloting of sustainable forest landscape management plans in three tiger-priority landscapes. Although the project, aims to maintain biodiversity and ecosystem services in the CFS, and support sustainable and inclusive development of local communities, the project may have social impacts that could affect people residing in the project target landscape. This report identifies possible issues under the relevant questions in the above screening questions, in order to devise precautionary measures during the implementation.

**4.1. Would the proposed project have environmental and social impacts that could affect indigenous people or other vulnerable groups?**

The project would support implementation of the CFS Master Plan which would involve zoning several areas as wildlife corridors. Some of these areas are presently occupied by several tribes of *Orang Asli*, the indigenous people of Peninsular Malaysia. During the community consultation sessions, which were held at all the demonstration sites during the PPG, a significant amount of human wildlife conflict was reported. The communities are concerned that to designate their land as wildlife corridors would result in increased conflict.

**4.2. Is the project likely to significantly impact gender equality and women’s empowerment?**

Yes, the Project will impact gender equality and women’s empowerment, in a positive manner. First, one of the CBOs which the Project will establish will be based on handicrafts, which is currently an activity carried out primarily by women. The establishment of the CBO, strengthening of market linkages and supply chains, and capacity building for activities such as value-addition of products, accounting and CBO management will significantly increase both the knowledge and skills of the women and the revenue generated by these activities. This will encourage women’s empowerment and encourage gender equality. The ecotourism CBO will also encourage the involvement of women, providing the same benefits.

Apart from the above activity specifically aimed at women’s empowerment, there will be many project activities involving stakeholder participation, including at a management level (for example, membership of the Landscape Management Planning Committee), and equal representation of each gender in these activities will be strongly encouraged.

**4.4. Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?**

Yes, the Project will have variable impacts on women and men, different ethnic groups and social classes. Both women and men will be positively impacted by the Project; however, as mentioned above, the CBO activities will be targeted significantly at women, and therefore will encourage women’s socio-economic development to a relatively greater degree than for men. In addition, all CBO activities will involve *Orang Asli* groups only, since these are marginalised, poverty-stricken communities; these activities will therefore have a greater impact on them than on non-indigenous groups. However, other outputs such as the community-based monitoring networks, establishment of the Landscape Management Planning Committee and involvement in human-wildlife conflict mitigation measures, etc. will involve both indigenous and non-indigenous groups. *The Orang Asli* are considered of a lower social class than non-indigenous groups; therefore the Project will have the same impact in this regard.

**6.1. Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?**

Yes, the Project will significantly affect the cultural traditions of affected communities. In those areas to be allocated to conservation, such as the 20,000 ha critical forest corridor to be gazetted, traditional resource use will be restricted.

**8.1. Is the proposed project likely to have impacts that could affect women’s and men’s ability to use, develop and protect natural resources and other natural capital assets?**

Implementation of the CFS Master Plan is likely to have impacts that could affect local peoples’ ability to use and develop natural resources: the project would support the CFS Master Plan which recommends the creation of new forest reserves and may restrict peoples’ access to natural resources.

**8.2. Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?**

Yes, the proposed project is likely to significantly affect land tenure arrangements, particularly traditional cultural ownership patterns. In most cases the affect will be for the benefit of the community, through increased potential for co-management, generated through their involvement in landscape management planning, the establishment of CBOs based on natural resources, and their involvement in monitoring activities and in planning of human-wildlife conflict mitigation measures. However, the project would support the CFS Master Plan which would involve the creation of new reserves. The present stated policies of government agencies such as the National Forestry Policy 1978 (revised in 1992) and the National Land Code 1965 does recognise traditional cultural ownership patterns; however, the land tenure arrangements of local communities, particularly those with traditional ownership, are not explicitly taken into consideration in the official process of constitution of new reserves.

**C. Next Steps** (for projects requiring further environmental and social review and management):

In this section, you should summarise actions that will be taken to deal with the above-listed issues. If your project has Category 2 or 3 components, then appropriate next steps will likely involve further environmental and social review and management, and the outcomes of this work should also be summarised here. Relevant guidance should be obtained from Section 7 for Category 2 and Section 8 for Category 3.

In order to mitigate unintended negative social impacts from project’s on-site activities, the following measures will be taken during the project implementation.

**4.1. Environmental and social impacts that could affect indigenous people or other vulnerable groups:**

The Project will carry our Free Prior Informed Consent (FPIC) exercise at the beginning of the detailed planning of local level interventions. The Project will invest significantly in human-wildlife conflict mitigation measures. First, it will review current elephant translocation plans and development plans to ensure the prevention of any overpopulations of elephants. It will strengthen DWNP response mechanisms to human-wildlife conflict incidences and improve communications between communities and DWNP so that the most appropriate and effective measures against human-wildlife conflict incidences are consistently taken. It will implement the Tiger Challenge competition scheme, whereby communities will be involved in developing mitigation measures on a competitive basis, with funding directed towards implementing the most effective measures put forward.

The Project will also establish CBOs and enhance the income generation potential of livelihood activities based on natural resources (handicrafts and ecotourism), which will mean that the allocation of these wildlife corridors will have positive impacts on community livelihoods through the improvement in wildlife and habitat conditions. Through their involvement in CBOs as well as in monitoring of wildlife and forestry crime and participation in landscape management planning, steps will be taken to prove indigenous people’s capacity for community-based natural resource management which will improve their social status.

**4.2. Significant impact on gender equality and women’s empowerment:**

This impact will encourage gender equality and women’s empowerment; therefore there is no risk to mitigate. As a precautionary measure, the project will ensure women’s representation in FPIC exercises, and develop gender disaggregated reporting.

**4.4. Variable impacts on women and men, different ethnic groups, social classes:**

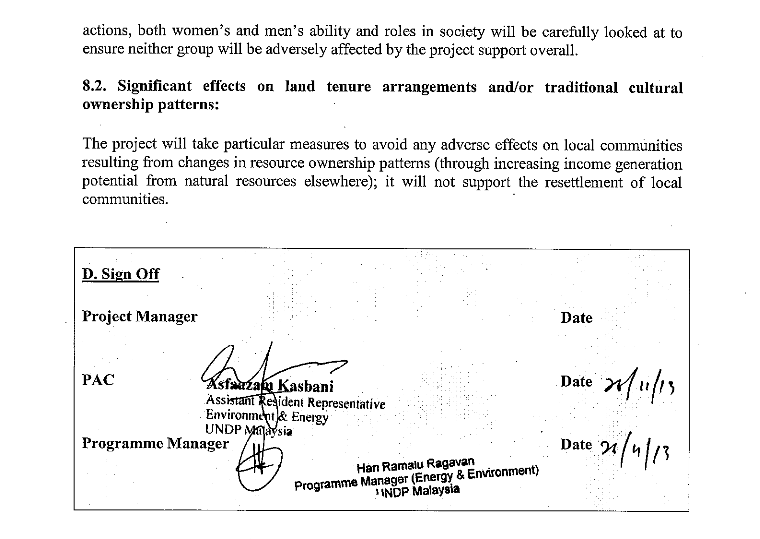
This impact will encourage the equalisation of gender, ethnic groups and social classes; therefore there is no risk to mitigate. As a precautionary measure, the project will ensure representation of different ethnic groups and women in FPIC exercises, and develop gender disaggregated reporting.

**6.1. Significant effects on the cultural traditions of affected communities, including gender-based roles:**

Through taking measures to enhance the income generation potential and sustainability of cultural traditions (such as the use of natural resources for producing handicrafts) where resource harvesting is permitted (which will be in the majority of areas), the Project’s activities will have an overall positive effect on cultural traditions.

**8.1. Impacts that could affect women’s and men’s ability to use, develop and protect natural resources and other natural capital assets:**

The Project’s strategy is to encourage sustainable use of natural resources. To achieve this, all stakeholders will be involved in the development of sustainable landscape management plans and capacity will be developed (within both genders) for their implementation, thereby increasing women’s and men’s ability to use, develop and protect natural resources and capital assets. To compensate for the restriction of resource use in certain key areas for connectivity, use of natural resources in other areas (the majority of areas) will be enhanced in terms of income generation and sustainability, thereby increasing benefits. As part of the management plans, Payments for Ecosystem Services schemes will be developed, encouraging community-based protection of their natural resources. In addition, capacity will be developed specifically for community-level monitoring of wildlife and forestry crime, thereby increasing women’s and men’s ability to protect natural resources. In all these



1. Significant corresponds to CO2 emissions greater than 100,000 tons per year (from both direct and indirect sources). Annex E provides additional guidance on calculating potential amounts of CO2 emissions. [↑](#footnote-ref-1)
2. Women are often more vulnerable than men to environmental degradation and resource scarcity. They typically have weaker and insecure rights to the resources they manage (especially land), and spend longer hours on collection of water, firewood, etc. ([OECD, 2006](http://www.oecd.org/dataoecd/4/21/37353858.pdf)). Women are also more often excluded from other social, economic, and political development processes. [↑](#footnote-ref-2)