# Annex [#]. 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*](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) *and* [*Toolkit*](https://intranet.undp.org/unit/bpps/DI/SES_Toolkit) *for guidance on how to answer the 6 questions.*

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | Support to MOHSS for accelerated implementation of The Global Fund |
| 1. Project Number | 00102753 |
| 1. Location (Global/Region/Country) | Namibia |

**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 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 has been designed to support the implementation of GF Grants by MOHSS. Most of the activities are related to the implementation of the TB Prevalence Survey The TB disease prevalence survey aims to quantify the burden of tuberculosis disease in Namibia in order to identify ways to improve tuberculosis control and ultimately end the tuberculosis epidemic. The discrepancy between the case notification rate (as reported by the MoHSS) and the estimated incidence (as reported by the WHO) implies many patients with tuberculosis go undetected, and therefore untreated. A prevalence survey is the best tool currently available to measure a country’s tuberculosis burden, critical for informing resource allocation and public health interventions. Included in the secondary objectives of the study is the assessment of the demographic and socioeconomic factors associated with presumptive tuberculosis cases.  The survey protocol has been designed with support from UN agencies such as WHO. The survey protocol clearly states that participation in the survey is voluntary, and participants will be able to withdraw from the survey at any point without any negative ramifications on the medical care they may need for any identified condition. The survey protocol has been reviewed for ethical clearance by the Ministry of Health and Social Services (MoHSS).  Although sensitive patient information will be collected for the purposes of diagnosis and individual case management as in routine healthcare, this information will be delinked for data analysis. A system of unique numbers utilising barcodes will be used instead of patient names for all the entries beyond the in-depth interviews to ensure patient confidentiality.  All survey participants or their guardians will be informed about the survey and will be required to provide informed written consent at the reception, prior to the screening. Each participant will sign the ‘informed consent’ form. Participants will be allowed to opt-out of the process at any point during the cascade. Since TB is a notifiable disease and this survey is commissioned by the MoHSS in the interest of public health, patients diagnosed with TB during the survey, will be traced in order to access the correct management.  All participants identified to have TB will linked to the local District TB and Leprosy Coordinators in order to be managed according to the National Guidelines for the Management of Tuberculosis. This includes registration, treatment and following up on close contacts. Treatment will be provided free of charge within the state health facilities for all patients diagnosed with active TB, including drug-resistant TB.  HIV testing will be performed by local trained counsellors who will immediately link those found to be HIV infected to HIV care and treatment services.  The survey has been approved by the Permanent Secretary of Health, through the Research Management Unit in the Ministry of Health and Social Services, which also incorporates the Biomedical Research Ethics Committee. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| TB is a serious concern in Namibia, which has one of the highest case notification rates in the world. Key approaches for tuberculosis prevention and control remain effective implementation of the directly‐observed treatment short‐course (DOTS) and expansion of community‐ and clinic‐based DOTS. The emergence of multidrug‐resistant TB and the growing problem of extensively drug‐resistant TB pose new challenges to improve the capacity for the management of identified cases, infection control in health facilities (including the provision of isolation wards), and strengthened surveillance and reporting. (WHO, 2010)  HIV infection is the major driver of the current TB epidemic. In 2012, 47% of TB patients were co infected with HIV.  Additionally in Namibia, women carry a greater proportion of the HIV burden and care. The Namibia Aids Progress Response Report 2015 states that young women 15-24 contribute 67% of the 40% new infections from young people. Out of 8,117 women tested for HIV in the 2016 NHSS, the overall national HIV prevalence among pregnant women receiving antenatal care (ANC) was 17.2%. Site level HIV prevalence varied considerably between sites. The sites with the highest HIV prevalence among pregnant women receiving ANC were Katima Mulilo (32.9%), Oshikuku (24.5%), Onandjokwe (22.6) and Otjiwarongo (22.5%). The sites with the lowest HIV prevalence were Opuwo (5.2%), Windhoek Central (6.2%) and Tsumkwe (6.4%).  The TB Prevalence Study is a nationwide study which not only assesses the TB status of survey participants, but also encourages and provides HIV testing. All participants detected with TB or HIV positive are referred to treatment. This is an important step in improving access to testing and treatment for women. The 2013 National Demographic and Health Study highlighted a higher prevalence in rural than in urban areas, with a feminization of the epidemic which in that is more pronounced in rural areas where the HIV prevalence among women is almost double that of men. (With the exception in of the regions of Omaheke and Kunene regions).  In Namibia women play a critical role in the care of chronically ill patients in the household setting. However, this can result in women and girls withdrawing from school or economic employment to care for sick relatives. The purpose of the survey is to inform TB health policy, which should result in the timely detection and prompt treatment of TB. The early detection of TB and HIV and referral to treatment should result in better treatment outcomes, healthier patients and thus reduce the need for women and girls to withdraw from education and formal employment prematurely. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| A key component of the project is Solar 4 Health. This addresses strengthening environmental sustainability through the provision of solar electricity at 7 Health Facilities. It is anticipated that instead of contributing negatively, the solar for health component contributes rather positively towards safeguarding the environment through the provision and use of greener, renewable energy and help offset the energy used to power the TB equipment.  The survey equipment includes Chest XRay, GenXpert and HIV testing equipment. The use and disposal all of this equipment and tests will strictly follow international and UNDP environmental safe guard and medical waste management guidelines. |

**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.*** | |
| Indigenous people will be expected to be included in the survey participants. | I = 1  P =4 | **Low** | **The TB Prevalence Survey aims to reach a cross-section of people throughout Namibia. This is expected to include Indigenous People. Participation in the survey is expected to result in health services that better meet their needs.** | | **All survey field workers will be thoroughly training before conducting interviews or inviting survey participants for testing.** | |
| The proposed Project potentially results in the generation of waste (both hazardous and non-hazardous) | I = 2  P = 3 | **Low** | The project activities include the procurement of medical equipment including chest XRay, GenXpert and HIV testing equipment. The use of this equipment and the tests performed will create both hazardous and non-hazardous waste. | | The use and disposal of this equipment and tests will strictly follow international and UNDP environmental safeguards and medical waste management. | |
|  | **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*** | | | **☐X** | | **The project is a short term project with well established procedures in place for waste management.** |
| ***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*** | | | **☐** | | This project has been assessed as low risk with no further SES assessment required. |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | | | **☐** | |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | | **☐** | |
| ***2. Climate Change Mitigation and Adaptation*** | | | **☐** | |
| ***3. Community Health, Safety and Working Conditions*** | | | **☐** | |
| ***4. Cultural Heritage*** | | | **☐** | |
| ***5. Displacement and Resettlement*** | | | **☐** | |
| ***6. Indigenous Peoples*** | | | **☐** | |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **☐** | |

**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? | NO |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | NO |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being* | NO |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
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| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#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 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?  *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.* | NO |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[2]](#footnote-2) greenhouse gas emissions or may exacerbate climate change? | NO |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | NO |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#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)? | NO |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | NO |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | NO |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | NO |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | NO |
| 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | NO |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international 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? | NO |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | NO |
| 6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | NO |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | NO |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | NO |
| 6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | NO |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)? | NO |
| 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* | NO |
| 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 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)