

Annex 1: UN Global Pulse Strategic Framework (Summary)

Goals: To accelerate discovery, development, and scaled adoption of big data innovation for the public good.

Objectives: Global Pulse's three strategic objectives are to:

Achieve a Critical Mass of Implemented Innovations. Large-scale adoption of data analytics for the public good is lagging due to a lack implemented innovations.

Theory of Change: Large-scale investment in, and adoption of, innovation in big data for the public good will continue to lag until there is sufficient evidence of the viability of the approach to convince skeptics. What is needed to overcome this challenge is a critical mass of end-to-end implementation successes, each demonstrating a clear business case, evidence of implementation feasibility, measurable impact, scalability, and relevance to practitioners' needs. These case studies, together with new knowledge in the fields of data science and humanitarian design, new partnership models, and technology tools will drive rapid increases in both supply and demand for big data innovation for the public good.

Lower Systemic Barriers to Adoption and Scaling. Large-scale adoption is lagging due to systemic barriers across the value chain.

Theory of Change: Project-specific examples are needed to demonstrate paths to overcoming barriers and support development and adoption of standards for anonymization of big data, shared value frameworks for sustainable public-private data sharing, and trust frameworks for safe and responsible use of big data as a public good. These examples may then be leveraged as a basis for development of global policy frameworks for overcoming the systemic barriers holding back broader adoption.

Strengthen the Innovation Ecosystem: Large-scale adoption is lagging due to lack of coordination within the formative community of practice.

Theory of Change: Public engagement is needed to convene disparate stakeholders around a common innovation agenda, together with investments in organizational capacity and stronger linkages across networks. Improved coordination between researchers, solution providers, practitioners, and funders will drive more efficient innovation work that will in turn accelerate adoption.

Strategy. To achieve its three strategic objectives, Global Pulse follows an operational strategy based on two tracks:

TRACK 1: INNOVATION DRIVER Global Pulse's innovation programmes across a network of Pulse Labs provide the UN system and its partners with access to the data, tools and expertise required to discover high-potential applications of big data, develop innovative open source applications and platforms to improve decision making, and support pilot-based evaluation of promising solutions.

TRACK 2: ECOSYSTEM CATALYST Global Pulse contributes to the development of regulatory frameworks and technical standards to address data sharing and privacy protection challenges, engages key stakeholders within the emerging community of practice on a priority innovation agenda, and provides public sector organizations with policy guidance and technical assistance to strengthen their capacity for integrating real-time insights into operations.

In addition, the Global Pulse's strategy rests upon two enabling activities: (1) strategic partnerships (2) privacy and data protection.

Description of Strategic Track 1: Innovation Driver

Through its headquarters in New York and country operations in Indonesia and Uganda, Global Pulse functions as a hub for discovering, building and testing innovations in big data and real-time analytics to development and humanitarian challenges. In collaboration with UN entities and national institutions, Global Pulse identifies problems that could be addressed through real-time monitoring of digital data, designs and conducts applied innovation projects to discover practical uses of big data to solve these challenges, and

prototypes open source technology tools for monitoring progress and tracking emerging vulnerabilities in real-time. Global Pulse supports its partners in conducting pilot-based evaluations of new tools and approaches within existing programmes and policy initiatives.

Joint innovation projects are the ultimate drivers of change, as they provide opportunity for the private sector, UN agencies, government institutions and academia to gain hands-on experience working together to solve real problems.

Global Pulse's innovation efforts focus on testing the viability of new sources of digital data and real-time analytics to support humanitarian and development goals. The research agenda includes analysis of new sources of information such as social media, online news, online advertising, web search records, money transfers, mobile network data, retail data, transaction records, high frequency remote sensing, and postal data.

Description of Strategic Track 2: Ecosystem Catalyst

Global Pulse's Ecosystem Catalyst strategy encompasses a set of activities that foster an enabling environment for using big data for humanitarian response. This includes engaging normative and technical organizations around development of regulatory frameworks and standards to address data access and privacy challenges; connecting research & innovation communities to accelerate innovation around priority opportunities for impact; and, supporting public sector organizations with policy guidance and technical assistance to strengthen capacity for implementation.

Unlocking the Value of Big Data for the Public Good. The term Data Philanthropy describes a new form of Corporate Social Responsibility (CSR) in which private sector companies make privately-held data available to third parties to be used for positive social impact. Global Pulse's advocacy and engagement with the private sector encompasses the short-term goal of persuading companies to find ways to safely share their data to support joint innovation and research. In structuring new partner agreements, Global Pulse seeks to establish open innovation protocols, whereby the partner agrees from the outset to not only share relatively sensitive data with Global Pulse, but also make other less-sensitive data available to interested third-party researchers working with Global Pulse.

Data-sharing partnerships play a critical role in supporting Global Pulse's long-term agenda of contributing to the establishment of a public/private big data commons to facilitate sustainable access to global real-time information on human well-being. Global Pulse is collaborating with other international organizations, including the World Economic Forum, the World Bank and the International Telecommunications Union (ITU), on strategies for providing incentives for specific industries (e.g. mobile, financial services and pharmaceutical) to contribute to a Big Data commons.

Cross-cutting Enabler: Partnerships

Global Pulse's advocacy agenda is focused on raising awareness of big data as a public good in order to attract potential partners from the private sector, the public sector and sectoral practitioners. The project's status as a special initiative of the UN Secretary-General's office makes it an appealing broker for data innovation partnerships with private sector, and a neutral advisor and technical partner for UN Agencies.

A network of strategic partners, at both the global and country-level, is required to ensure sustainable access to the resources required for joint innovation in Pulse Labs and to create the enabling environment needed for the success of accelerating big data innovation and ecosystem building. Partners collaborate with Pulse Labs through:

- *Data:* Sharing data sets or providing access to streaming data to support Pulse Labs' toolkit development efforts and field missions.
- *Technology:* Sharing tools for data mining, real-time analytics and data visualization, or sharing storage and computing capabilities

- *Expertise:* Making engineers, data scientists or researchers available to collaborate on specific projects that support the UN, public sector, and other humanitarian organizations.

Cross-cutting Enabler: Data Privacy & Data Protection

In addition to being the explicit focus of one of Global Pulse's innovation programmes and a key area of its global advocacy efforts, privacy protection is integrated across all of the initiative's operations. Global Pulse must anticipate the privacy risks around the use, reuse and potential misuse of data. In order to do so, Global Pulse follows a "privacy by design" process that ensures each new technological development or innovation is evaluated against the risks it poses for the privacy of individuals.

Annex 2: About the UN Global Pulse Privacy Policy

Privacy principles

We access, analyse or otherwise use data for the purposes of research consistent with the United Nations mandate and in furtherance of the Sustainable Development Goals

We do not collect data from data subjects for the purposes of our research projects. We access, analyse, or otherwise use information or data that has been collected, analysed or shared with us lawfully by our partners

We ensure, to the extent possible, that all of the data used is adequate, relevant and not excessive in relation to the purposes of the project or the purposes for which the data was obtained

We do not access, analyse or otherwise use data containing personal information on any individual, without the knowledge or proper consent of the data subject

We never access, analyse or otherwise use the content of private communications, without the knowledge or proper consent of the data subject

We will not knowingly or purposefully access, analyse, or otherwise use data, which was shared by a data subject with a reasonable expectation of privacy

We never attempt to knowingly and purposely re-identify de-identified data, without the knowledge or proper consent of the data subject and we make all reasonable efforts to prevent any unlawful and unjustified re-identification

We design, carry out, report and document our activities with accuracy and adequate openness

We access, analyse or otherwise use data in accordance with the principles of proportionality and ensure such use is limited to the minimum necessary

We perform a risk assessment and implement mitigation processes before any substantially new project is undertaken.

We ensure that the risk assessment and risk mitigation processes take into account positive impacts and the individual harms that can derive from the use of data. We take into consideration the impact that using the data can have not only on individuals but also on groups of individuals.

We employ even stricter standards of care while conducting research among vulnerable populations and persons at risk, children and young people, and any other sensitive data

We ensure reasonable and appropriate technical and organisational safeguards are in place to prevent any unauthorized disclosure or breach of data. We ensure that any data is being stored only for the necessary duration and any retention of it is justified

We perform due diligence when selecting data or service provider partners and ensure their activities comply with the United Nations' global mandate

We ensure that our partners are acting in compliance with relevant law, data privacy and data protection standards

Data Privacy Advisory Group

Established in November 2014, Global Pulse's Data Privacy Advisory Group convenes experts from public and private sector, academia and civil society, as a forum to engage in a continuous dialogue on critical topics related to data protection and privacy with the objective of unearthing precedents, good practices, and strengthen the overall understanding of how privacy protected analysis of big data can contribute to sustainable development and humanitarian action.

The Group engages in a dialogue on critical topics, discuss perspectives and offer possible solutions related to data protection and privacy in the context of global development and humanitarian action. The Group will serve as a sounding board to inform Global Pulse's privacy and data protection strategies. A main objective of the Group will be to propose solutions and create precedents inclusively and transparently and to further enable the responsible use of big data for public good.

Some of the topics to be discussed will include balancing transparency and openness with privacy and security; the risks, harms and rewards of data usage; issues related to data re-use, re-purposing; scope of legitimate purpose; challenges concerning private sector data sharing or data philanthropy; the need to develop mechanisms and standards for secure and responsible data de-identification. The Group also explores approaches and best practices that mitigate risks associated with privacy in the big data analytics field, while preserving data value for global development policy-planning or humanitarian action.

More information and a list of Data Privacy Advisory Group members can be found online at: <http://www.unglobalpulse.org/data-privacy-advisory-group>

Annex 3: Programme Quality Assurance Report

OUTPUT 1: Pulse Lab Kampala		
Activity Result 1 (Atlas Activity ID)	Output 1. Ecosystem catalysed by Pulse Lab Kampala to develop innovations with big data and real-time analytics to achieve and monitor SDGs localization	Start Date: 2016 End Date: 2020
Purpose	To develop innovations with big data and real-time analytics to achieve and monitor SDGs localization	
Description	In partnership with the Government, Pulse Lab Kampala will contribute to the development of regulatory frameworks and technical standards to address data sharing and privacy protection challenges. The Lab will engage key stakeholders to prioritize an innovation agenda and will provide public sector organisations with policy guidance and technical assistance to strengthen their capacity for integrating real-time insights into operations.	
Quality Criteria <i>How/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
1. Number of partnerships consolidated between the Lab and Government, UN Agencies, Private sector and Academia to advance SDGs localization with Big Data and real time analytics	<i>Reports from UN Global and partners</i> Sector review reports	Every year
2. Number of advocacy events successfully organized/co-organized by the Lab to validate real time monitoring tools to achieve and monitor SDGs	<i>Reports from UN Global and partners</i> Annual sector performance reports	Every two years
3. Number of real time monitoring tools used to support the Delivering as One UN process	<i>Reports from UN Global and partners</i> UNDP programme reports	Every year
Activity Result 2 (Atlas Activity ID)	Output 2. Project and tools developed by Pulse Lab Kampala and partners to monitor and achieve SDG localization	Start Date: 2016 End Date: 2020
Purpose	To build capacities of partners <u>and develop tools for use to monitor and achieve SDG localization</u>	
Description	In collaboration with UN entities and national institutions, Pulse Lab Kampala will identify development and humanitarian challenges that could be addressed through analysis of new digital data sources. The Lab will conduct applied research projects to test new real-time monitoring approaches and prototypes of open source technology tools to address the identified challenges.	
Quality Criteria	Quality Method	Date of Assessment

<i>How/with what indicators the quality of the activity result will be measured?</i>	<i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<i>When will the assessment of quality be performed?</i>
2.1 Number of tools built by the Lab to use real time data to achieve and monitor SDG localization	<i>Reports from UN Global and partners</i>	Annually Quarterly
2.2 Number of data innovation projects completed probing the value of Big Data combined with other types of data to achieve and monitor SDGs	<i>Reports from UN Global and partners</i>	Annually Quarterly

Annex 4. TORs Pulse Lab Kampala Manager

Manager Pulse Lab Kampala (UN Global Pulse)

Location:	Kampala, UGANDA
Type of Contract:	FTA International
Post Level:	P-4
Languages Required:	English

Background

Please note that Ugandan Nationals are not eligible to apply to International positions in their country. Global Pulse is an innovation initiative of the United Nations Secretary-General, established to harness today's new world of digital data and real-time analytics to gain a better understanding of changes in human well-being. Global Pulse aims to contribute a future in which access to better information sooner makes it possible to keep international development on track, protect the world's most vulnerable populations, and strengthen resilience to global shocks. Global Pulse is being implemented as a global network of Pulse Labs, bringing together expertise from UN agencies, governments, academia, and the private sector to research, develop, test and share tools and approaches for harnessing real-time data for more effective and efficient policy action. For more information on Global Pulse go to <http://www.unglobalpulse.org>.

Pulse Lab Kampala

Global Pulse is establishing an innovation hub for real-time monitoring in Kampala. The Lab will function as an open innovation space where policy experts together with UN development practitioners and other partners experiment with new types of data and emerging technologies to evaluate their potential to enhance both public policy decision-making and community resilience. Following the development of useful approaches, Pulse Lab Kampala will support institutional adoption of these innovations into policy and practice.

Working Relationships

The Operations Manager will report to the UN Resident Coordinator. The position implies frequent interaction with the following:

Designated department heads in Government, donor representatives, officials from non-governmental organizations, international organizations, consultants, civil society, and senior officials from the private sector. It also entails interface and coordination with the UN Country Team, and its attendant working groups. As Team Leader, the Operations Manager will have responsibility for the successful implementation of Global Pulse in Uganda. This position will provide strategic leadership and bear primary administrative responsibility for all activities aimed at fulfilling the Lab objectives. The incumbent is expected to ensure the Lab's technical approach remains cognizant of local realities on both technical and infrastructural environments, and is responsible for forging high-value relationships and building sustainable and effective solutions.

Duties and Responsibilities

Summary of Key Functions:

- Provide the overarching strategy, direction and management for Pulse Lab Kampala in line with the overall Global Pulse strategy and goals;
- Provide high level programmatic/technical support and capacity building to local partners as appropriate to build support for the project;
- Ensure inclusion into and demonstrate added value to delivering the United Nations mandate in

Uganda;

- Coordinate and network effectively with Government and other stakeholders regarding project planning, monitoring, execution and deliverables;
- Manage a highly skilled team and foster a culture of intellectual curiosity, creativity, collaboration, experimentation, and commitment to embodying the highest ideals of the United Nations;
- Advocate the goals of Global Pulse and the work of Pulse Lab Kampala in relevant forums (e.g. conferences, workshops);
- Ensure adherence to UN guidelines, rules and regulations in financial management and accountability;
- Provide strategic and substantive innovation-related content for high level communications, speeches, publications, and statements;
- Seek private and public funding for Pulse Lab Kampala activities;
- Drive the Big Data for Development and Data Philanthropy movements through Thought Leadership in Uganda and the greater East Africa region;
- Maintain relationships with Pulse labs in other countries, sharing knowledge, ideas and expertise.

Function/Expected Results:

- Strategy for Pulse Lab Kampala in place in line with the overall Global Pulse strategy and goals;
- Capacity of local partners built for effective implementation;
- A well-functioning Global Pulse Team Kampala with high-levels of intellectual curiosity, creativity, collaboration, experimentation, and commitment to embodying the highest ideals of the United Nations;
- Effective advocacy and resource mobilization for the further development of Global pulse Lab Kampala;
- Effective partnerships built, managed and leveraged.

As Team Leader, the Operations Manager will have responsibility for:

- The successful implementation of Global Pulse in Uganda. This position will provide strategic leadership and bear primary administrative responsibility for all activities aimed at fulfilling the Lab objectives;
- The incumbent is expected to ensure the Lab's technical approach remains cognizant of local realities on both technical and infrastructural environments, and is responsible for forging high-value relationships and building sustainable and effective solutions.

Competencies

Corporate Competencies:

- Demonstrates integrity by modelling the UN's values and ethical standards;
- Promotes the vision, mission, and strategic goals of UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Treats all people fairly without favouritism.

Functional Competencies:

Knowledge Management and Learning:

- Understanding of big data and data analytics;
- Shares knowledge and experience and contributes to UNDP Practice Areas and actively works towards continuing personal learning and development;

- Development and Operational Effectiveness;
- Ability to lead strategic planning, results-based management and reporting;
- Capacity to adapt policies, approaches and models to meet emerging needs;
- Ability to lead formulation and evaluation of development programmes and projects;
- Ability to apply economic theory to the specific country context, carry out high-quality economic research.

Management and Leadership:

- Knowledge of utility of data in non-traditional situations;
- Focuses on impact and result for the client and responds positively to critical feedback;
- Encourages risk-taking in the pursuit of creativity and innovation;
- Leads teams effectively and shows conflict resolution skills;
- Consistently approaches work with energy and a positive, constructive attitude;
- Demonstrates strong oral and written communication skills;
- Understanding of government partner workflows and agendas;
- Builds strong relationships with clients and external actors.

Required Skills and Experience

Education:

Advanced University Degree in social sciences, public or business administration, international development, international relations, or a technical field relevant to the work of Global Pulse;

A first-level university degree with nine (9) years of qualifying experience may be accepted in lieu of the advanced university degree.

Experience:

A minimum of seven(7) years experience in project or knowledge management, design, and implementation;
At least five (5) years of progressively responsible professional experience in innovation management, project management, management consulting, organizational development, business or public administration management, including three (3) years of which were in a supervisory capacity;

Understanding of big data and analytics;

Experience in the technology sector or innovation in the private or public sector highly desirable;

Experience working in international development an advantage;

Demonstrated administrative management and supervisory skills, including experience working with a culturally diverse staff;

Excellent communication, public speaking and documentation skills;

Excellent ability to interact with senior management and top government officials;

Proven ability to build and manage internal and external relationships;

Demonstrated strong written and oral communication skills.

Language Requirements:

Fluent in English.

UNDP is an Equal Opportunity Employer. Highly Qualified women are encouraged to apply.

Short listed candidates will be required to send certified copies of academic credentials.

[Click here for important information for US Permanent Residents \('Green Card' holders\).](#)

UNDP is committed to achieving workforce diversity in terms of gender, nationality and culture. Individuals from minority groups, indigenous groups and persons with disabilities are equally encouraged to apply. All applications will be treated with the strictest confidence.

Annex 5. Risk Analysis

Project Title: Pulse Lab Kampala	Award ID:	Date:
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	New legal formats to formalize partnerships with the private sector are not approved by Legal Units	At the design phase	Operational	Enter probability on a scale from 1 (low) to 5 (high) P = 3 Enter impact on a scale from 1 (low) to 5 (high) I = 4	Maintain dialogue between Legal Units and Legal Departments from private sector companies	Management and technical team in Pulse Lab Kampala and Global Pulse	Team	At the design phase	Initial
2	Legal frameworks in Uganda are developed to prevent the use of telecoms data and other types of Big Data to achieve and monitor SDGs	At the design phase	Regulatory	P = 3 I = 5	Maintain dialogue with Government counterparts, UN and regional institutions to lower the risk	Management and technical team in Pulse Lab Kampala and Global Pulse	Team	At the design phase	Initial
3	Privacy of the subjects of analysis is not protected	At the design phase	Operational	P = 1 I = 5	Design and implement measures of data protection in place	Management and technical team in Pulse Lab Kampala and Global Pulse	Team	At the design phase	Initial

Annex 6. Social and Environmental Screening Template

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Programme Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the Programme mainstreams the human-rights based approach²¹

Big data represents a new resource with the potential to revolutionize development and humanitarian practice. However, legitimate concerns about privacy and data protection present challenges to harnessing big data for public benefit. The programme implementation strategy includes specific interventions aimed at raising public awareness and mobilize response towards human rights and Big Data. The project mainstreams the human-rights based approach in big data analytics with the *Data Privacy Advisory Group* and *Data Protection and Privacy Frameworks*.

Data Privacy Advisory Group. The group was established last year as a geographically representative stakeholder group of private sector, academia and civil society experts to inform UN Global Pulse privacy and data protection guidelines and strategies. The Group also makes general recommendations on the risks, harms and utility associated with the use of big data, and the importance of considering human rights principles when dealing with big data analytics. *Further information about the group can be found online at: <http://www.unglobalpulse.org/data-privacy-advisory-group>.*

Data Protection and Privacy Frameworks. A detailed set of data protection and privacy guidelines are incorporated operationally into all UN Global Pulse data-sharing partnerships and projects. A Privacy Impact Assessment is conducted in every project to identify potential value, risks and harms associated with the use of digital data. The assessment helps to determine whether a big data project should be considered and the precautions required to ensure that access to the data will do no harm.

The project has adopted an all-inclusive and participatory strategy for its implementation. During the design, stakeholders and programme beneficiaries participated in various workshops to provide input on development challenges, existing bottlenecks and strategy. The design phase made deliberate efforts to facilitate active participation of vulnerable groups and women.

Briefly describe in the space below how the Programme is likely to improve gender equality and women's empowerment

In collaboration with UN Agencies, Government and national institutions, Pulse Lab Kampala identifies development and humanitarian challenges that could be addressed through analysis of new digital data sources. The Lab will prioritize projects to address gender equality and women's empowerment, with a special focus on reproductive health and rights and gender-based violence. The Lab will test new real-time monitoring approaches and will develop prototypes (with open source technology tools) to better inform, monitor and evaluate programmes to empower women, promote gender equality and ending all forms of discrimination against women and girls.

The Lab will tap into different types of Big Data to inform such programmes. The type of Big Data that will be analysed can be defined by the following two categories:

- What People Say – International and local online news sources, radio content, publicly accessible blogs, forum posts, comments and public social media content, online advertising, e-commerce sites and websites created by local retailers that list prices and inventory;

²¹ A human rights-based approach is a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights. It seeks to analyze inequalities, which lie at the heart of development problems and redress discriminatory practices and unjust distributions of power that impede development progress.

- What People Do – Passively collected transactional data from the use of digital services such as population movement (through location-enabled phones), financial services (including purchases, mobile money transfers, savings and loan repayments), communications services (such as anonymised records of mobile phone usage patterns) or information services (such as anonymised records of search queries).

Where feasible, analysis will attempt to disaggregate data by gender, whenever possible ("gender disaggregation by design"). The gender disaggregation methodology will differ depending on data type. In some cases we may build upon methods developed previously, in other cases we may have to develop entirely new approaches.

Briefly describe in the space below how the Programme mainstreams environmental sustainability

In collaboration with UN Agencies, Government and national institutions, Pulse Lab Kampala identifies development and humanitarian challenges that could be addressed through analysis of new digital data sources. The Lab will prioritize projects to address climate change challenges with Big Data. The Lab will leverage Big Data from the private sector to identify revolutionary new approaches to climate mitigation and adaptation. Datasets from multiple sources and industries will be made available to identify innovative climate solutions.

Part B. Identifying and Managing Social and Environmental Risks

<p>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). 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 Programme.</i></p>	<p>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 6</i></p>			<p>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)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>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.</p>
<p>No Risks Identified</p>				
<p>[add additional rows as needed]</p>				

QUESTION 4: What is the overall Project risk categorization?		
Select one (see <u>SESP</u> 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 type="checkbox"/>	
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
<i>7. Pollution Prevention and Resource Efficiency</i>	<input type="checkbox"/>	

Final Sign Off

<i>Signature</i>	<i>Date</i>	<i>Description</i>
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		Answer (Yes/ No)
Principles 1: Human Rights		
1.	Could the Programme 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 Programme would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ²²	No
3.	Could the Programme 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 Programme 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 Programme?	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 Programme during the stakeholder engagement process?	No
8.	Is there a risk that the Programme would exacerbate conflicts among and/or the risk of violence to programme-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Programme would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Programme 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 Programme during the stakeholder engagement process and has this been included in the overall Programme proposal and in the risk assessment?	No
4.	Would the Programme 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		
1.1	Would the Programme potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

²² 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.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Programme 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 Programme 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 Programme activities pose risks to endangered species?	No
1.5	Would the Programme pose a risk of introducing invasive alien species?	No
1.6	Does the Programme involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Programme involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Programme 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 Programme involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Programme generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Programme 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 Programme) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Programme result in significant ²³ greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Programme be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Programme 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		

²³ 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.]

3.1	Would elements of Programme construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Programme 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 Programme involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Programme pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Programme be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Programme 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 Programme 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 Programme 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 Programme 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 Programme 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: Programmes intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Programme 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 Programme potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Programme 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 Programme would lead to forced evictions? ²⁴	No
5.4	Would the proposed Programme 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 Programme area (including Programme area of influence)?	No

²⁴ 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.

6.2	Is it likely that the Programme or portions of the Programme will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Programme 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 Programme 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)? <i>If the answer to the screening question 6.3 is "yes" the potential risk impacts are considered potentially severe and/or critical and the Programme would be categorized as either Moderate or High Risk.</i>	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 Programme 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 Programme adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Programme potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Programme 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 Programme 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?	No
7.2	Would the proposed Programme potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Programme potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Programme 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>	No
7.4	Will the proposed Programme involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Programme include activities that require significant consumption of raw materials, energy, and/or water?	No