Guidance Note
UNDP Social and Environmental Standards (SES)

Social and Environmental Screening Procedure

UPDATED PROCEDURE
OPG approved in 2019

Pre-Launch version: effective upon integration in UNDP Programme and Operations Policies and Procedures (POPP), anticipated in January 2020

What is New

The proposed update to the SESP Template and Guidance includes the following top-line revisions:

- ✓ Alignment of the screening template and guidance with the draft revised UNDP Social and Environmental Standards (SES), including alignment with the updated UN Sustainable Development Cooperation Framework (formerly UNDAF) Guidance
- ✓ Alignment with UNDP's updated Programme and Project Management (PPM) Policy
- ✓ Alignment with UNDP's updated Enterprise Risk Management Policy (ERM), including changes to social and environmental risk descriptions and ratings
- ✓ Added additional "Substantial" Risk project categorization to align with ERM Policy
- ✓ Consolidated guidance on how to respond to SESP questions into body of SESP Guidance Note, which will be integrated into online tool
- ✓ Added further guidance on specifying the types of assessments and management plans needed per risk category and per Programming Principles and Project-level Standards (SESP Questions 5 and 6)
- ✓ Modified SESP template Question 5 for screeners to indicate overall types of needed assessments and management plans
- ✓ Rephrased SESP Template Question 6 to sharpen descriptions of risk-specific assessments and management measures
- ✓ Streamlined wording of Social and Environmental Risk Checklist questions
- ✓ Updated indicative list of High Risk projects (Annex 2)

UNDP Guidance Notes on the Social and Environmental Standards (SES)

This Guidance Note is part of a set of operational guidance materials related to the UNDP Social and Environmental Standards (SES). UNDP's SES seek to (i) strengthen quality of programming by ensuring a principled approach; (ii) maximize social and environmental opportunities and benefits; (iii) avoid adverse impacts to people and the environment; (iv) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (v) strengthen UNDP partner capacities for managing social and environmental risks; and (vi) ensure full and effective stakeholder engagement, including through mechanisms to respond to complaints from project-affected people.

The SES guidance notes follow a similar structure to assist users in finding specific information or guidance (however the SESP Guidance Note focuses on the steps of the screening process). The set of guidance notes will develop over time to include specific guidance on each of the SES Programming Principles, Project-level Standards, and elements of the Social and Environmental Management System (see Key Elements of the SES). The SES Toolkit is an on-line resource for the guidance notes and supporting materials.

Key Elements of the SES

PART A: Programming Principles
- ❖ Leave No One Behind
- ❖ Human Rights
- ❖ Gender Equality and Women's Empowerment
- ❖ Sustainability and Resilience
- ❖ Accountability

PART B: Project-level Standards
- Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management
- Standard 2: Climate Change and Disaster Risks
- Standard 3: Community Health, Safety and Security
- Standard 4: Cultural Heritage
- Standard 5: Displacement and Resettlement
- Standard 6: Indigenous Peoples
- Standard 7: Labour and Working Conditions
- Standard 8: Pollution Prevention and Resource Efficiency

PART C: Social and Environmental Management System
- ✓ Quality Assurance and Risk Management
- ✓ Screening and Categorization
- ✓ Assessment and Management
- ✓ Stakeholder Engagement and Response Mechanism
- ✓ Access to Information
- ✓ Monitoring, Reporting and Compliance

How to Use This Guidance Note

The target users for the SES guidance notes are staff, consultants, stakeholders and partners who are involved in developing, assessing and implementing projects that invoke UNDP's SES. To facilitate use of the overall package of SES guidance, users should understand that the guidance notes:

- Are structured around the process of **screening, social and environmental assessment, and management** (including monitoring). This SESP Guidance Note concentrates on the screening process.
- Assist in determining the applicability of relevant SES requirements in the screening process for all projects.
- Provide additional guidance for projects that require assessment and development of management measures (i.e. projects with Moderate, Substantial or High Risks related to a certain Principle or Standard).
- Provide a practical resource for implementing SES requirements to address potential social and environmental impacts within the context of the project cycle. Users do not necessarily need to read them in full but rather may select information that is specific to their needs.
- Complement and elaborate on the SES, which must be read in conjunction with the guidance notes (SES language is generally not repeated in the notes).
- Will continue to be developed as lessons are derived from implementation. Feedback is always welcome and can be sent to info.ses@undp.org.
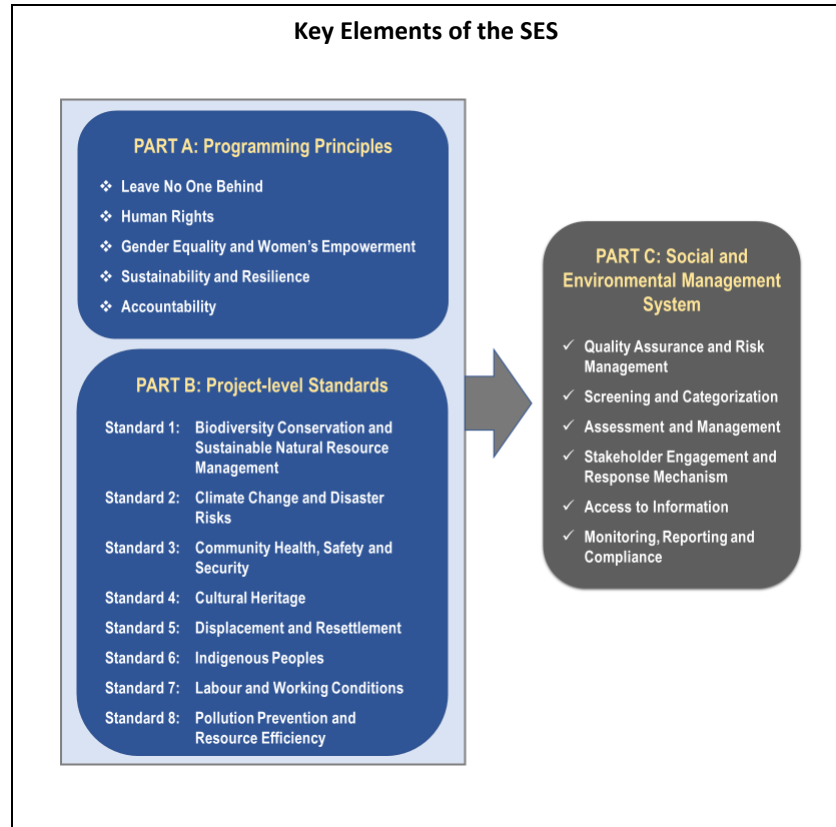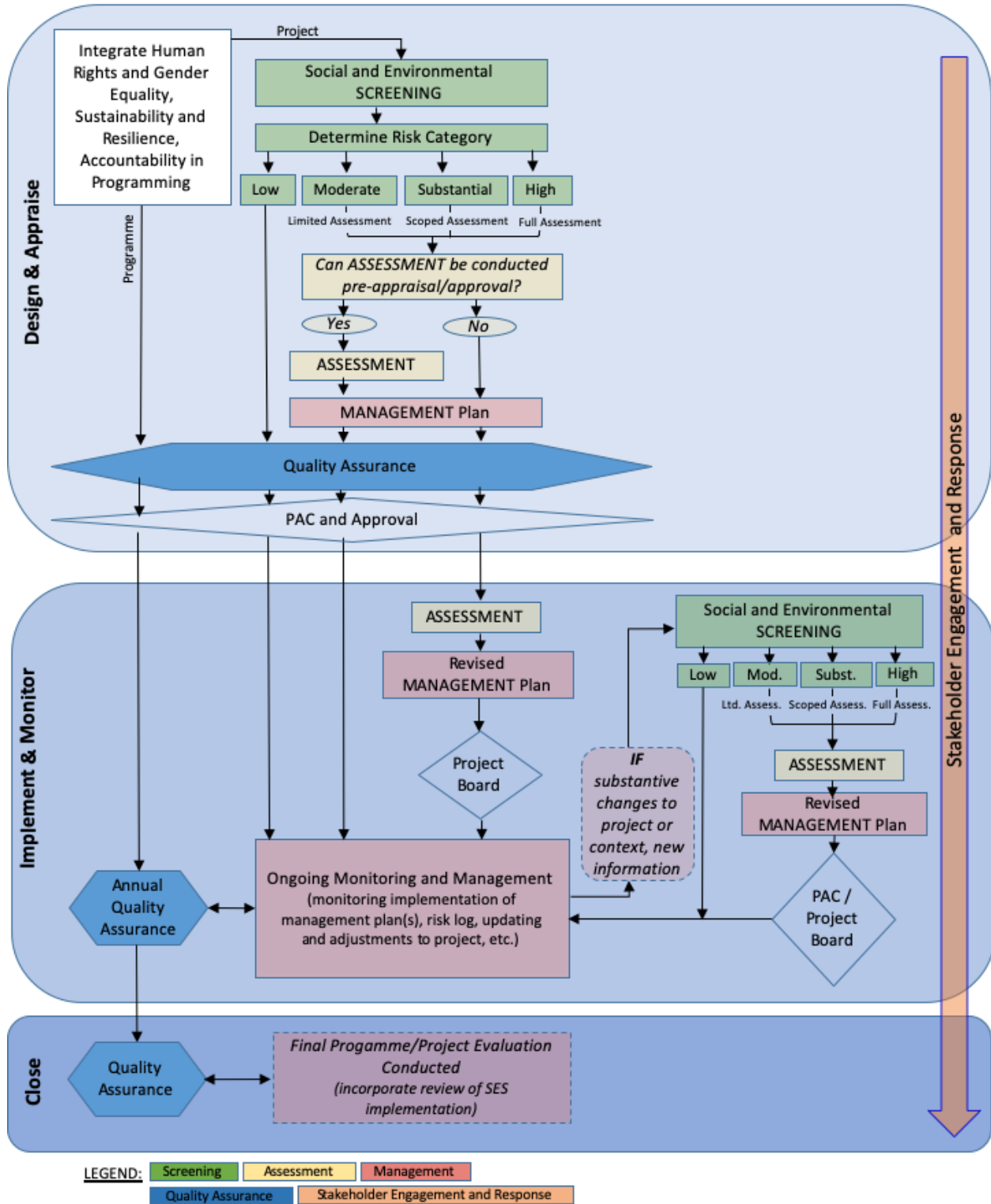
Figure 1. SES Implementation – Screening, Assessment and Management in the Programming Cycle

LEGEND: Screening | Assessment | Management | Quality Assurance | Stakeholder Engagement and Response

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Acronyms

BPPS	Bureau for Policy and Programme Support
CO	UNDP Country Office
CPD	Country Programme Document
DIM	Direct Implementation Modality
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FPIC	Free Prior and Informed Consent
GHG	Greenhouse Gas
GRM	Grievance Redress Mechanism
HRBA	Human Rights-based Approach to Development Programming
LPAC	Local Project Appraisal Committee
NIM	National Implementation Modality
OAI	UNDP's Office of Audit and Investigations
PAC	Project Appraisal Committee
QA	Quality Assurance
RBx	Regional Bureaus
SECU	Social and Environmental Compliance Unit
SES	Social and Environmental Standards
SESA	Strategic Environmental and Social Assessment
SESP	Social and Environmental Screening Procedure
SRM	Stakeholder Response Mechanism
UNDAF	United Nations Development Assistance Framework
UNSDG	United Nations Sustainable Development Group
UNDP	United Nations Development Programme

I. Introduction

1. Social and environmental sustainability are fundamental to the achievement of development outcomes and shall be systematically mainstreamed into UNDP's Programme and Project Management Cycles. UNDP's Social and Environmental Standards (SES) underpin and demonstrate this commitment. The SES, in effect since 1 January 2015, require that all UNDP programmes and projects enhance positive social and environmental opportunities and benefits as well as ensure that adverse social and environmental risks and impacts are avoided, minimized, and mitigated.

2. Screening and categorization of projects is one of the key requirements of the SES.[1] Screening identifies potential social and environmental opportunities and risks/impacts in the design and implementation of projects. Categorization is undertaken to reflect the level of review and resources required for addressing the identified risks and impacts.

3. UNDP's Social and Environmental Screening Procedure (SESP) and this Guidance Note provide policy guidance and tools to design and implement high quality projects that address the requirements of UNDP's SES. The SESP is comprised of a series of questions that guides Project Developers through a process of identifying potential project-related social and environmental opportunities and risks and measures for social and environmental risk management.

4. The **objectives** of the SESP are to:

   - integrate the SES Programming Principles in order to maximize social and environmental opportunities and benefits and strengthen social and environmental sustainability;
   - identify potential social and environmental risks and their significance;
   - determine the project's risk category (Low, Moderate, Substantial, High); and,
   - determine the level of social and environmental assessment and management required to address potential risks and impacts.

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[1] Compliance is another key policy delivery area, with implications for screening and categorization by UNDP staff. UNDP has a compliance review process – the Social and Environmental Compliance Unit (SECU), within the Office of Audit and Investigations (OAI) – that accepts requests to investigate alleged violations of UNDP's social and environmental commitments, including UNDP's commitment to apply the SES and SESP. Additionally, UNDP has established a Stakeholder Response Mechanism that seeks to facilitate dispute resolution for social and environmental issues related to a UNDP project. Dispute resolution will occur primarily through UNDP country or regional offices. An office in UNDP headquarters will provide support for these efforts, or lead them when appropriate.

II. Screening Requirements and Process

What Projects Must Be Screened?

5. As part of UNDP's quality assurance role, UNDP requires adherence to the SES for project activities implemented using funds channeled through UNDP's accounts, regardless of Implementation Modality (e.g. NIM, DIM). With some exceptions (see below), all proposed projects are required to be screened.

6. The SESP applies to all development activities not included in the SESP exemptions list below. This includes "projects" supported by different UNDP delivery instruments as outlined in the following table:

Standard Delivery Instruments	SESP applied to:
Development Projects	Project Document
Engagement Facility	Multi-year Workplan
Development Services	Development Services Agreement
Other Instruments	
Portfolios of Projects	Project Document; if multiple ProDocs, screen each
Initiation Plan	If utilized to initiate or conduct development activities, then "Description of Activities" should be screened

7. Projects that consist **solely** of any of the following functions or activities will be **exempt** from the screening requirement:
    a. UNDP serves as Administrative Agent;
    b. Preparation and dissemination of reports, documents and communication materials;
    c. Organization of an event, workshop, training;[2]
    d. Strengthening capacities of partners to participate in international negotiations and conferences;
    e. Partnership coordination (including UN coordination) and management of networks; and/or
    f. Global/regional projects with no country-level activities (e.g. activities such as knowledge management, inter-governmental processes);
    g. Development Effectiveness projects and Institutional Effectiveness projects.

8. The exemption criteria apply when they comprise the entire scope of the project, not just one component. For projects that meet the SESP exemption criteria, Project Developers indicate in the SESP Tool that the SESP is not required and indicate the reason for the exemption. The SESP exemption is recorded in the project Design Stage QA Assessment Rating Tool.

9. For projects that are not exempt from the screening requirement, all project activities must be screened. Most UNDP projects involve partners that contribute in-kind resources or parallel funding and apply their own policies and procedures to achieve common objectives. Therefore, while UNDP does not ensure compliance with the SES beyond those activities funded through UNDP's accounts, UNDP reviews the entire project for consistency with the requirements of the SES.[3] It is important for UNDP to review all project-related activities (including those directly supported by partners) to ensure that potential social and environmental risks of those activities do not compromise the outcomes and outputs of UNDP-

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[2] For information on best practices in organizing meetings and events in a sustainable manner, see the UNDP Green Meeting and the Sustainable Events Guides, available at http://www.greeningtheblue.org/resources/meetings.
[3] All partners are bound to their respective commitments made within the partnership agreement (e.g. Project Document).

supported activities. Where partner-related social and environmental risks are identified, UNDP works with the partner to ensure a consistent approach to social and environmental risk mitigation and management.

10. Projects may include physical interventions and on-the-ground activities (e.g. buildings, roads, protected areas, climate adaptation, often referred to as "downstream activities") as well as planning support, policy advice, and capacity building (often referred to as "upstream" activities which may present risks that are predominantly indirect, long-term or difficult to identify).

11. It is also important for Project Developers to consider whether project-related procurement of goods and services may pose social and environmental risks. UNDP's Sustainable Procurement Policy[4] seeks to maximize environmental, social and economic considerations in the procurement process whenever possible and UNDP's and UNDP's General Terms and Conditions for Contracts includes compliance with UNDP's SES as a condition.[5]

How Does Screening Contribute to UNDP's Overall Approach to Quality Assurance?

12. UNDP's approach to project Quality Assurance (QA) involves reviewing the quality of projects to strengthen development effectiveness. At each project stage, the QA system requires review of projects across seven quality criteria: (1) strategic, (2) relevant, (3) *principled,* (4) management and monitoring, (5) efficient, (6) effective, and (7) sustainability and national ownership.

13. The SESP assists UNDP staff to ensure that the "principled" QA criteria–which encompasses the SES–has been addressed in the project design. Completion of the SESP Tool, for projects that require it, is necessary to receive a satisfactory score for the Project Appraisal Quality Assurance review and to proceed with project approval. Results of QA reviews, including the SESP, will be documented in the Corporate Planning System for each project.

How Does Screening Contribute to Project Risk Management?

14. The SESP leads Project Developers to identify potential project-related social and environmental risks and impacts and appropriately-scaled assessment and management measures to address those risks.

15. The SESP is aligned with the UNDP Enterprise Risk Management Policy. Project-related social and environmental risks identified in the SESP as being of Moderate, Substantial, or High significance are to be recorded in the project Risk Register. The Risk Register informs the project's Monitoring Plan, ensuring that these social and environmental risks are properly tracked and reviewed during project implementation.

Who is Responsible for Screening?

16. Implementation of screening requires the participation of various actors, but the following is a list of the key actors who will be accountable:

- **Project Developer** ("completes"): The Project Developer is responsible for completing the SESP during the design stage. The Project Developer may be a UNDP staff member or another person as agreed by the Programme Manager.

- **Quality Assurance (QA) Assessor** ("checks"): The QA Assessor is the UNDP staff member responsible for the project, typically a UNDP Programme Officer, who is not necessarily the project

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[4] See UNDP Sustainable Procurement Policy.
[5] See UNDP General Terms and Conditions for Contracts (September 2017), para. 31.

Developer/Manager or part of the project team. The QA Assessor checks to ensure that the social and environmental screening process is adequately conducted and submitted to the Project Appraisal Committee (PAC). The QA Assessor includes a review of compliance with the SES as part of the QA process throughout the lifecycle of the project, including ensuring that the SESP is updated during project implementation due to substantial changes to the project or in the project context. In some cases, the QA Assessor and the Project Developer may be the same person.

- **QA Approver** ("clears"): The QA Approver is a UNDP senior manager in the office with responsibility for reviewing and clearing the project QA assessments, 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.

- **Project Appraisal Committee** (PAC) ("reviews"): PAC members participate in PAC meetings and ensure that screening has been conducted and social and environmental issues are considered as part of the appraisal process. The PAC reviews and recommends whether a project should be approved. Relevant focal points (e.g. indigenous issues expert, climate specialist) should be included in the PAC, particularly for projects where the screening has identified social and environmental risks with potential Moderate, Substantial or High significance. The PAC Chair has the responsibility to ensure the SESP results are made available to PAC members and considered in the appraisal process.

- **Programme Manager** ("approves"): The Programme Manager has final authorization responsibility for projects and thus is accountable to the UNDP Administrator for ensuring the SESP and SES have been fully applied and addressed at the project level. The Programme Manager may be the Resident Representative, Regional Bureau Director, or another HQ Bureau Director with regard to country, regional, or global projects, respectively.

- **Project Manager** ("implements"): The Project Manager is responsible for ensuring that the identified social and environmental management measures are implemented and monitored throughout project implementation, including updating the SESP and relevant management measures should there be substantial changes to the project or in the project context. The Project Manager may be a UNDP staff member or Implementing Partner.

17. In addition, support and oversight will be provided at the Regional and HQ levels. [NOTE: Business Plan will outline oversight and support functions]

18. In cases of joint programming and cost-sharing, national counterparts and partners should be involved in the screening process to promote a comprehensive approach to the identification of potential social and environmental opportunities and risks. UNDP, however, remains accountable for ensuring application of its Social and Environmental Standards (including the screening procedure) for project activities implemented using funds that flow through UNDP accounts.

When Does Screening Take Place?

19. The SESP should be used **iteratively** as a design and appraisal tool from the earliest stages of project preparation. The SESP assists Project Developers in identifying potential project-related social and environmental opportunities and risks and measures for social and environmental risk management. Figure 1 at the beginning of this guidance note outlines how screening, assessment, and management may occur throughout the project cycle.

20. As outlined below, screening occurs at different stages of the project cycle. Figure 2 summarizes key steps for screening at different phases of the project.

21. **Pre-screening** of the concept note[6] (when prepared) or early drafts of the Project Document will help to ensure that social and environmental sustainability issues are considered and integrated into a project's concept and design, enhancing the quality of the project. Early screening will help to anticipate how the SES Programming Principles and, where relevant, the Project-level Standards may best be addressed in the project's design.

22. As part of the pre-screening process, a pre-PAC meeting may be organized in order to discuss complex social and environmental issues, and internal experts can be engaged and/or external experts hired to identify measures to prepare the project for full appraisal. Project proposals to be submitted to funding partners, environment vertical funds such as the GEF and GCF, and trust funds should also be pre-screened prior to submittal.

23. For projects that are categorized as Moderate, Substantial or High Risk, appropriately-scaled social and environmental assessment should be conducted as part of project preparation to inform design. In cases where further assessment requires some upfront investment during project design, the financial resources needed should be integrated into an Initiation Plan for the project and submitted to a PAC (see para. 60).

24. In some cases assessments will need to be conducted during project implementation as a key output or activity. ***However, no activities that may cause adverse social and environmental impacts are to proceed until assessments are completed and appropriate mitigation and management measures are in place.*** Activities that cannot proceed until completion of assessments should be clearly identified in the SESP and noted in the Project Document. See the [SES Guidance Note on Social and Environmental Assessment and Management](#) for more information.

25. **Full design-stage screening** of the Project Document must be completed prior to appraisal of the project by the Project Appraisal Committee (PAC) and final project approval. Because the final screening comes at the end of the design process, the final screening will be primarily to assess new information and design elements since pre-screening and to document how the project has incorporated the previously-identified requirements of the SES, including relevant assessment and management measures.

26. While the screening process takes place during the project concept and design stage as part of a good planning process, implementation and monitoring of identified risk management and mitigation measures is required throughout the life-cycle of the project.

27. **During project implementation**, certain circumstances require the revision of the completed design-stage screening. These include, but are not limited to: (a) where new information becomes available such as through a social and environmental assessment, (b) where there are substantive changes to the project (e.g. changes in design, additional components), or (c) where changes in the project context[7] might alter the project's risk profile.[8] If the revised screening results in a higher risk category then the revised SESP needs to be reviewed by the Project Board or a subsequent PAC process (and where relevant by the GEF or GCF[9]). The project Risk Register should be updated accordingly.
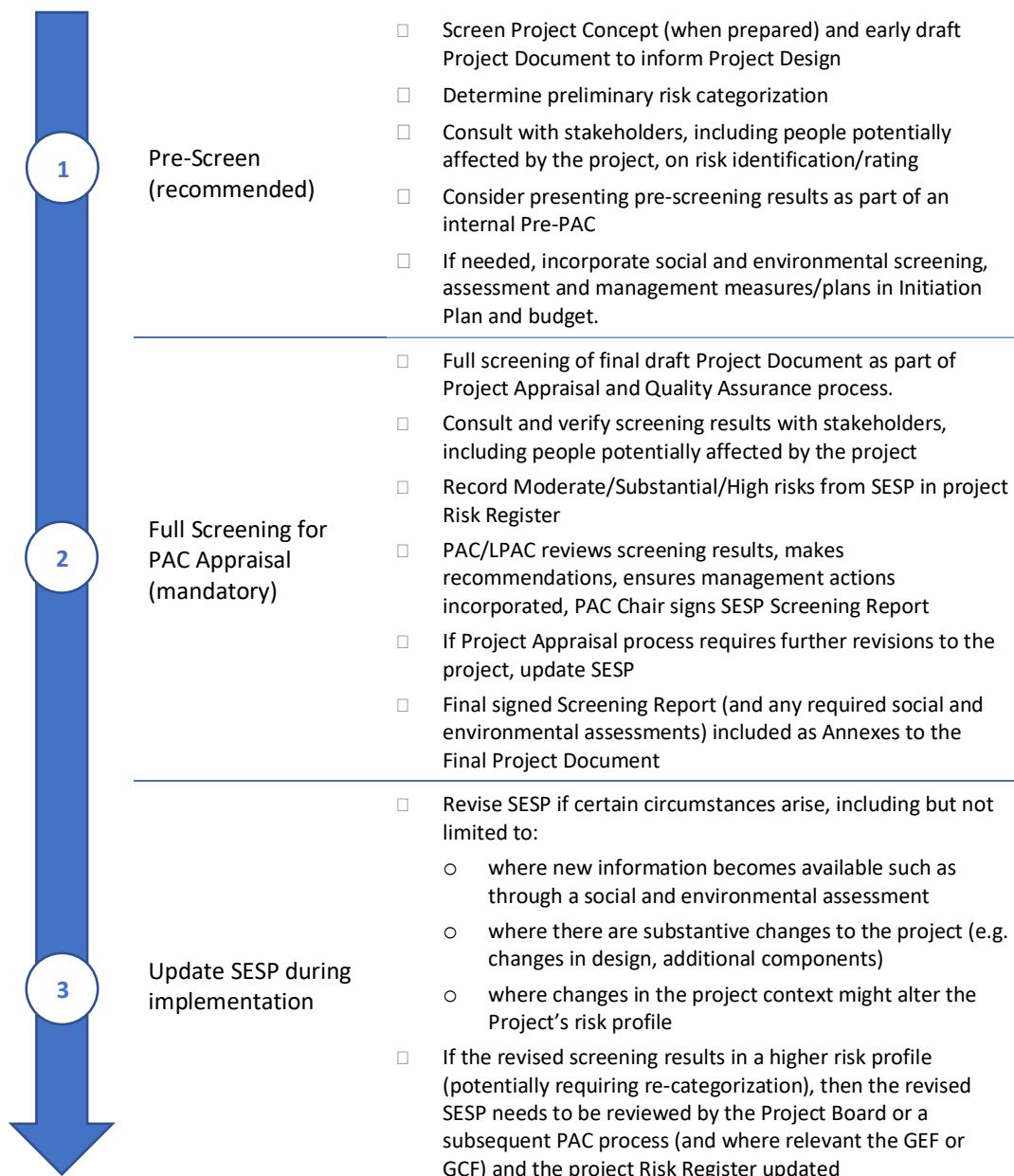
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[6] All projects financed by the Global Environment Facility (GEF Trust Fund, LDCF, SCCF) must undertake a pre-screening of the PIF. This pre-screening must be cleared by the UNDP-GEF Unit before the PIF is submitted to the GEF for consideration.

[7] For example, conflict, mass migration, natural disaster, or discovery of previously unrecognized or undocumented cultural or natural heritage in the project-affected area.

[8] The project risk profile is understood here as the description of social and environmental risks that have been identified in the SESP and Project Document.

[9] Please contact the UNDP-GEF Unit for further information.

Figure 2. Key SESP Steps during the Project Cycle

1	Pre-Screen (recommended)	☐ Screen Project Concept (when prepared) and early draft Project Document to inform Project Design ☐ Determine preliminary risk categorization ☐ Consult with stakeholders, including people potentially affected by the project, on risk identification/rating ☐ Consider presenting pre-screening results as part of an internal Pre-PAC ☐ If needed, incorporate social and environmental screening, assessment and management measures/plans in Initiation Plan and budget.
2	Full Screening for PAC Appraisal (mandatory)	☐ Full screening of final draft Project Document as part of Project Appraisal and Quality Assurance process. ☐ Consult and verify screening results with stakeholders, including people potentially affected by the project ☐ Record Moderate/Substantial/High risks from SESP in project Risk Register ☐ PAC/LPAC reviews screening results, makes recommendations, ensures management actions incorporated, PAC Chair signs SESP Screening Report ☐ If Project Appraisal process requires further revisions to the project, update SESP ☐ Final signed Screening Report (and any required social and environmental assessments) included as Annexes to the Final Project Document

3	Update SESP during implementation	☐ Revise SESP if certain circumstances arise, including but not limited to:
		  o where new information becomes available such as through a social and environmental assessment
		  o where there are substantive changes to the project (e.g. changes in design, additional components)
		  o where changes in the project context might alter the Project's risk profile
		☐ If the revised screening results in a higher risk profile (potentially requiring re-categorization), then the revised SESP needs to be reviewed by the Project Board or a subsequent PAC process (and where relevant the GEF or GCF) and the project Risk Register updated

Where Can I Find Additional Guidance, Tools, and Case Examples?

28. The SESP Tool, with embedded guidance, is available at [link].

29. Guidance, tools and case studies, including examples of completed SESP templates, are available in the online SES toolkit.

III. Completing the SESP

30. The SESP Tool [add link] guides users through the screening process to ensure the SESP objectives are met and that the final determinations and decisions are adequately documented. Completion of the SESP Tool produces the Social and Environmental Screening Report that is to be attached as an **annex to the Project Document**. The Screening results also provide a direct **input to the project Risk Register**. See Box 1 for an overview of the SESP guiding questions.

31. Projects with potentially significant social and environmental risks and impacts typically require involvement of relevant experts. In any event, the screening should be shared and further developed with the input of project stakeholders, including those who may be affected by project activities. Site visit(s) will often be necessary to complete the screening.

32. The following paragraphs provide guidance on how to answer the six guiding questions of the SESP Tool.

> **Box 1: SESP Components**
>
> **Part A – Integrating the SES Programming Principles**
>
> Question 1: How does the project integrate the Programming Principles to Strengthen Social and Environmental Sustainability?
>
> **Part B – Identifying and Managing Social and Environmental Risks**
>
> Question 2: What are the potential social and environmental risks?
>
> Question 3: What is the level of significance of the identified risks?
>
> Question 4: What is the project's overall social and environmental risk categorization? (Low/Moderate/Substantial/High)
>
> Question 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered?
>
> Question 6: Describe the social and environmental assessment and management measures for all risks rated Moderate, Substantial or High and their status
>
> **Attachment 1. Social and Environmental Risk Screening Checklist** (tool to help answer Question 2)

Question 1: How Does the Project Integrate the SES Programming Principles in order to Strengthen Social and Environmental Sustainability?

33. The SES and SESP do not only apply a "do no-harm" approach but also a quality enhancement approach to strengthen social and environmental sustainability of UNDP programming. In addition to risk screening, the SESP provides a tool to help UNDP fully consider and document how the SES Programming Principles are integrated into project design.

34. Question 1 is intended to help identify and document how key elements of the SES Programming Principles–(1) leave no one behind; (2) human rights; (3) gender equality and women's empowerment; (4) sustainability and resilience; and (5) accountability – have been addressed by the project in order to enhance social and environmental sustainability. Question 1 does not seek to identify potential adverse social and environmental risks (addressed below by Questions 2-6). Instead the questions in Part A help to ensure that opportunities for promoting social and environmental sustainability have been appropriately considered during project development. The project may already include measures designed to assist government efforts to enhance the realization of human rights, gender equality, resilience, sustainability, and accountability, or additional measures will be identified during the screening process; these should all be noted here as evidence.

35. The description of how the Programming Principles have been addressed should briefly note any targeted support being provided through the project to ensure that no one is left behind; human rights and gender equality are advanced; sustainability and resilience are strengthened; and accountability assured. It should also note opportunities or measures that have been incorporated to fully integrate these Principles across all dimensions of the project. The SESP Tool (and the Template attached to this guidance note)

include various prompts and issues that should be considered in this section. Table 1 provides an overview of the types of issues that may be addressed under Question 1.

Table 1. Issues to address under SESP Question 1

QUESTION 1: How Does the Project Integrate the Programming Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach[10]
For example, by describing how the project design: • *Is informed by human rights analysis, including from UN human rights mechanisms (human rights treaty bodies, Universal Periodic Review, Special Procedures)* • *Includes measures to assist the government to realise (respect, protect and fulfil) human rights under international law and to implement human rights-related standards in national law (whichever is higher)* • *Enhances the availability, accessibility and quality of benefits and services for potentially marginalized individuals and groups, and to increase their inclusion in decision-making processes that may impact them (consistent with the non-discrimination and equality human rights principle)[11]* • *Provides reasonable accommodations[12] to strengthen inclusivity and accessibility of project benefits and services to persons with disabilities*
Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
For example, by describing how the project design: • *Benefits from gender experts and gender analysis* • *Applies a meaningful participatory process for engaging women's voices* • *Includes analysis of gender inequalities in the project's rationale section and makes clear how UNDP will promote changes in relation to gender equality* • *Incorporates age and sex-disaggregated data and gender statistics and specific, measurable indicators related to gender equality and women's empowerment* • *Ensures the results framework includes: (a) special measures/outputs, and (b) indicators to address gender inequality issues* • *Identifies cultural, social, religious, and other constraints on women's potential participation and strategies to overcome them*

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[10] The UN Statement of Common Understanding on Human Rights-Based Approaches to Development Cooperation and Programming (the Common Understanding) seeks to ensure that UN agencies, funds and programmes apply a consistent Human Rights-Based Approach to common programming processes at global and regional levels, and especially at the country level in relation to the CCA and UNDAF. The Common Understanding notes that:
- All programmes of development co-operation, policies and technical assistance should further the realisation of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments
- Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and in all phases of the programming process
- Development cooperation contributes to the development of the capacities of 'duty-bearers' to meet their obligations and/or of 'rights-holders' to claim their rights.

See more at http://hrbaportal.org/the-human-rights-based-approach-to-development-cooperation-towards-a-common-understanding-among-un-agencies.

[11] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, 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 or transsexual people.

[12] Article 2 of the Convention on the Rights of Persons with Disabilities defines reasonable accommodations as "[n]ecessary and appropriate modification and adjustments not imposing a disproportionate or undue burden, where needed in a particular case, to ensure to persons with disabilities the enjoyment or exercise on an equal basis with others of all human rights and fundamental freedoms."

• *Ensures that project scores 3 or 2 as per the ATLAS Gender Marker*
• *Seeks to prevent gender-based violence (GBV)*

Briefly describe in the space below how the project mainstreams sustainability and resilience
For example, by describing how the project design: • *Reduces vulnerabilities and strengthens resilience of communities to shocks, emergency situations, conflict, anticipated impacts of climate change, disaster risks* • *Promotes risk-informed development with actionable risk information, early warning systems, capacity building, preparedness* • *Supports implementation of sustainability and resilience opportunities and risks identified in the Cooperation Framework, country analysis, and/or country commitments under international agreements* • *Strengthens environmental management capacities of country partners* • *Addresses environment-development linkages (e.g. poverty-environment nexus, environmental dimensions of disaster and crisis prevention)* • *Applies a precautionary approach to natural resource conservation[13]*

Briefly describe in the space below how the project strengthens accountability to stakeholders
• *Supports meaningful participation and inclusion of all stakeholders, in particular marginalized individuals and groups, in processes that may impact them including design, implementation and monitoring of the project, e.g. through capacity building, creating an enabling environment for participation, ensuring access to relevant information, etc. (consistent with participation and inclusion human rights principle)* • *Provides or supports meaningful means for local communities and affected populations to raise concerns and/or grievances including a redress processes for local communities when activities may adversely impact them (consistent with accountability and rule of law human rights principle).* • *Note how project-affected people will be informed of UNDP's Accountability Mechanism*

Question 2: What Are the Potential Social and Environmental Risks?

36. In Question 2 users briefly describe potential social and environmental risks. To answer this question, users first complete the Social and Environmental Risk Screening Checklist, which provides a series of Yes/No questions related to potential risks under each of the SES Principles and Project-Level Standards. All "Yes" answers in the checklist indicate a potential risk.

37. Screening for potential adverse social and environmental risks and impacts encompasses all activities outlined in the project documentation, regardless of source and flow of funds, and includes review of potential direct and indirect impacts in the project's area of influence.[14] This includes screening both "upstream" activities (e.g. planning support, policy advice, and capacity-building) as well as "downstream" activities (e.g. site-specific, physical interventions).

38. **Project activities are screened for their inherent ('pre-mitigation') social and environmental risks regardless of planned mitigation and management measures.** It is necessary to form a clear picture of

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[13] See Principle 15 of the Rio Declaration on Environment and Development (1992), noting that the lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent serious threats of environmental degradation.

[14] A project's area of influence encompasses (i) the primary project site(s) and related facilities (e.g. access roads, pipelines, canals, disposal areas), (ii) associated facilities that are not funded as part of the project but whose viability and existence depend on the project (e.g. transmission line to connect UNDP-supported hydropower facility), (iii) areas and communities potentially affected by cumulative impacts from the project or from other relevant past, present and reasonably foreseeable developments in the geographic area (e.g. reduction of water flow in a watershed due to multiple withdrawals), and (iv) areas and communities potentially affected by induced impacts from unplanned but predictable developments or activities caused by the project, which may occur later or at a different location (e.g. facilitation of settlements, illegal logging, agricultural activities by new roads in intact forest areas).

potential inherent risks in the event that mitigation measures are not implemented or fail. This means that risks should be identified (i.e. a "Yes" in the Checklist) and quantified <u>as if no mitigation or management measures were to be put in place</u>. The "manageability" of the identified potential risks is then considered in subsequent steps (see Q3 below).

39. Concise descriptions of the potential risks identified in the Risk Checklist are entered under Question 2. The description should be as specific to the project (not just a restating of the Checklist wording) and as short as possible. The risk description should indicate the cause (triggering action/event) and the potential impact (environmental, social). Multiple related risks from the Checklist can be summarized together under a single risk description.

Question 3: What is the Level of *Significance* of the Potential Social and Environmental Risks?

40. Question 3 asks users to estimate the level of **significance** of the potential social and environmental risks described under Question 2. To do this, screeners estimate both the potential **impact** (e.g. consequences if the risk were to occur) and **likelihood** (e.g. the chance of the risk occurring) for each identified risk.

41. The following factors need to be considered when estimating the potential impact:

- <u>Type and location</u>: is the project in a high-risk sector or does it include high-risk components? Is it located in sensitive areas (e.g. in densely populated areas, near critical habitat, indigenous territories, protected areas, etc.)? (See Annex 2 for indicative list of types of High Risk projects)

- <u>Magnitude or intensity</u>: could an impact result in destruction or serious impairment of a social or environmental feature or system, or deterioration of the economic, social or cultural well-being of a large number of people?

- <u>Manageability</u>: will relatively uncomplicated, accepted measures suffice to avoid or mitigate the potential impacts, or is detailed study required to understand if the impacts can be managed and which management measures are needed?

- <u>Duration</u>: will the adverse impacts be short-term (e.g. exist only during construction), medium term (e.g. five years) or long-term (e.g. more than 5 years)?

- <u>Reversibility</u>: is an impact reversible or irreversible?

- <u>Community Involvement</u>: the absence of community involvement is a risk for the success and sustainability of any project. Have project-affected communities been consulted in project planning and design? Will they have a substantive role to play in the project going forward?

42. Screeners rate both impact and likelihood on a scale of 1 (low) to 5 (high) for each identified risk. See Tables 2 and 3 for guidance on these ratings.

43. The combination of impact and likelihood is then used to determine the overall significance of each identified risk (Low, Moderate, Substantial, or High) using Table 4 as a guideline.

Table 2. Rating the 'Impact' of a Risk

Score	Rating	Social and environmental impacts
5	Extreme	Significant adverse impacts on human populations and/or environment. Adverse impacts of large-scale magnitude and/or spatial extent (e.g. large geographic area, large number of people, transboundary impacts, cumulative impacts) and duration (e.g. long-term, permanent and/or irreversible); areas adversely impacted include areas of high value and sensitivity (e.g. valuable ecosystems, critical habitats); adverse impacts to rights, lands, resources and territories of indigenous peoples; involve significant levels of displacement or resettlement; generates significant quantities of greenhouse gas emissions; impacts may give rise to significant social conflict
4	Extensive	Adverse impacts on people and/or environment of considerable magnitude, spatial extent and duration, but more limited than Extreme (e.g. more predictable, mostly temporary, reversible). *Impacts of projects that may affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples are to be considered at a minimum potentially Extensive[15]*
3	Intermediate	Impacts of medium magnitude, limited in scale (site-specific) and duration (temporary), can be avoided, managed and/or mitigated with relatively uncomplicated accepted measures
2	Minor	Very minor impacts in terms of severity and magnitude (e.g. small affected area, very low number of people affected) and duration (short), may be easily avoided, managed, mitigated
1	Negligible	Negligible or no adverse impacts on communities, individuals, and/or environment

Table 3. Rating the 'Likelihood' of a Risk

Score	Rating
5	Expected
4	Very likely
3	Moderately likely
2	Low likelihood
1	Not likely

Table 4. Determining 'Significance' of Risk

Impact	1	2	3	4	5
5	M	S	S	H	H
4	L	M	S	S	H
3	L	M	M	M	S
2	L	L	L	M	M
1	L	L	L	L	L
	1	2	3	4	5

Likelihood

Low, **Moderate**, **Substantial**, **High**

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[15] See the SES Guidance Note on Standard 6: Indigenous Peoples in the SES Toolkit.

Question 4: What is the Overall Social and Environmental *Risk Categorization* of the Project?

44. Question 4 asks users to assign an overall social and environmental risk category to the project. The risk category helps to determine the level of required social and environmental assessment and management measures (addressed in Question 5).

45. UNDP recognizes that development interventions increasingly take place in contexts with a range of significant social and environmental risks. Working in these higher risk contexts can often present considerable opportunities to catalyze transformational change for sustainable development. Therefore, the risk category of the project does not indicate whether a proposed project is "good" or "bad." Rather the risk category recognizes the inherent risks associated with the development context and intervention to ensure that effective measures are put in place to appropriately manage and mitigate these risks, allowing us to work in these contexts.

46. The SESP results in one of the following risk categories for the proposed project:

- **Low Risk:** Projects that include activities with minimal or no adverse social or environmental risks and/or impacts. However, the SES Programming Principles and stakeholder engagement requirements still apply to project activities.

- **Moderate Risk:** Projects that include activities with potential adverse social and environmental risks and impacts that are few in number, limited in scale, largely reversible and can be identified with a reasonable degree of certainty and readily addressed through application of recognized good international practice, mitigation measures and stakeholder engagement during project implementation. Moderate Risk projects range from those with very few, well-understood social and environmental risks and impacts to those where the full extent of the limited impacts is unclear and further assessment and management planning is required (see Table 5).

- **Substantial Risk:** Projects that include activities with potential adverse social and environmental risks and impacts that are more varied or complex than those of Moderate Risk projects but remain limited in scale and are of lesser magnitude than those of High Risk projects (e.g. reversible, predictable, smaller footprint, less risk of cumulative impacts). Substantial Risk projects include individual risks rated as "Substantial" (see Tables 2-4). Substantial Risk projects may also include those with a varied range of risks rated as "Moderate" that require more extensive assessment and management measures. While the type of assessment methodology for Substantial Risk projects will vary depending on the nature of the risks and type of project, generally a scoped, fit-for-purpose Environmental and Social Impact Assessment (ESIA) would be needed to analyze the range and interactions of potential risks and impacts. Similarly, for Substantial Risk projects that promote plans and policy reforms that may lead to adverse social and environmental risks and impacts, a scoped Strategic Environmental and Social Assessments may be required.

- **High Risk:** Projects that include activities with potential significant adverse social and environmental risks and impacts that are irreversible, unprecedented, and/or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process. High Risk activities may involve significant adverse impacts on physical, biological, socioeconomic, or cultural resources. High Risk projects may have the potential to aggravate existing situations of fragility or conflict, adversely affect human rights and/or lead to extensive environmental degradation. Comprehensive forms of assessment and management plans are required. Annex 2 provides an indicative list of potential High Risk projects.

47. Project categorization is determined by the highest level of significance of identified risks across all potential risk areas (as rated in Question 3). For example, if some risks are identified as having "Low" or "Moderate" significance and only one as "High" significance, then the overall risk categorization of the project would be "High." A project with one or more "Substantial" risks would have an overall risk categorization of "Substantial." However, in cases where screening identifies multiple risks of Moderate or Substantial significance, users may need to decide to categorize the project at a higher risk categorization level given the potential cumulative nature of the risks and/or complexity of assessing and managing a wide range of risks.

Question 5: Based on the identified risks and significance, what requirements of the SES are triggered?

48. Question 5 asks screeners (a) to identify what types of assessment and management measures/plans are to be developed and applied to the project given the identified risks and project categorization, and (b) which SES Programming Principles (from a risk-based perspective) and Project-Level Standards are triggered for the project.

49. Social and environmental review and assessment identifies ways for avoiding, and where avoidance is not possible, minimizing, mitigating, or managing (following that sequence, i.e. the "mitigation hierarchy") for adverse consequences and for enhancing positive effects. This is part of a good planning process that seeks to avoid a more costly approach of addressing impacts and risks as they arise during project implementation.

50. Based on all identified risks rated as Moderate, Substantial or High Significance, record the types of required assessment and management measures/plans and which SES Programming Principles and Project-Level Standards are triggered. It must be noted that the Programming Principles are applicable to all projects; the intent here is to indicate whether specific risks associated with the Principles have been identified (e.g. potential human rights violations). Note that risks associated with the Sustainability and Resilience Principle are addressed in the Project-level Standards.

51. When a project is categorized as Moderate, Substantial or High Risk, then some form of social and environmental review, assessment and management measures will be required to ensure compliance with the SES. The first task will be to determine the scope of the social and environmental review and assessment that is required and appropriate to the nature of the identified risks. Screeners should review the SES Guidance Note on Social and Environmental Assessment and Management for more detailed guidance on overall types of assessments and management plans. Table 5 provides a high-level overview of the general types of assessments and management plans required by the SES for each project categorization level, with further guidance provided below.

Table 5. Overview of project categorization levels and overall assessment and management measures/plans

	Low	Moderate		Substantial	High
Impacts	None/ minor	Very limited, well understood, easily mitigated	Limited but full extent unclear	Varied range of limited but more complex impacts	Significant, irreversible impacts; significant stakeholder concerns; potential conflict
Assessment	X	SESP identifies risks and straightforward management measures	Targeted assessment(s) (e.g. hazard assessment, audits, special studies)	Appropriately scoped ESIA or SESA	Full ESIA or SESA
Management	X	Incorporate management measures into ProDoc	Targeted mange-ment measures/ plan; initial management plan if assess post-PAC	Appropriately scoped ESMP or ESMF when assessment post-PAC	ESMP or ESMF when assessment post-PAC

ESIA = Environmental and Social Impact Assessment
SESA = Strategic Environmental and Social Assessment
ESMP = Environmental and Social Management Plan
ESMF = Environmental and Social Management Framework

Low Risk projects

52. When a project is categorized as Low Risk no further social and environmental assessment is required. However, the SES Programming Principles still apply and measures to strengthen human rights and gender quality should be incorporated. Stakeholder engagement requirements also apply. If stakeholders have raised concerns regarding the project's social and environmental aspects, the Low Risk designation must be carefully reviewed (e.g. serious objections should warrant re-categorization).

Moderate Risk projects

53. Moderate Risk projects typically require targeted social and environmental assessment and review to determine how the potential impacts identified in the screening will be avoided or when avoidance is not possible, minimized, mitigated and managed. Further analysis may determine that the project categorization should be elevated and a full social and environmental assessment is required in order to ensure that the SES requirements are addressed.

54. Potential risks and impacts of Moderate Risk projects will generally be addressed through straightforward application of environmental siting, permitting requirements, pollution standards, design criteria, construction standards, and good international practice. In such cases, such straightforward measures may be listed in the SESP and incorporated into the Project Document.

55. Where the Moderate Risks are less well understood, then targeted assessments and management measures/plans may be required. Examples of targeted assessments may include social baselines, gender analyses, environmental audits, labor audits, risk hazard assessments, air pollutant emissions and air quality impact studies, noise and vibration studies, water resources impact studies, contamination investigations and assessments, traffic studies along transport corridors.

Substantial Risk projects

56. Substantial Risk projects include potential social and environmental risks and impacts rated as Substantial (see Tables 2-4). The type of assessment methodology and tools required for Substantial Risk projects will depend on the nature of the potential risks/impacts and the type of project. Typically an appropriately-scoped Environmental and Social Impact Assessment (ESIA) may be needed to analyze the range of identified social and environmental risks and impacts. A range of targeted assessment tools may also be incorporated (see above). Similarly, a scoped Strategic Environmental and Social Assessment may be utilized to assess the potential risks and impacts of supported plans and policy reforms. The scoped ESIA/SESA for Substantial Risk projects will typically be less involved than those required for High Risk projects.

High Risk projects

57. High Risk projects require comprehensive social and environmental assessment and risk avoidance, mitigation, and management measures. The form of assessment will vary depending on the type of project and the nature of its social and environmental risks and impacts.

58. Typically the potential adverse risks and impacts associated with "upstream" project activities–those involving planning support, policy advice and reform, broad country programmes and/or capacity building–are assessed utilizing forms of Strategic Environmental and Social Assessment (SESA). The potential adverse risks and impacts associated with projects that have a physical footprint ("downstream" activities) are typically addressed through a full Environmental and Social Impact Assessment (ESIA). Projects will adhere to recommendations of the SESA or ESIA.

59. High Risk projects require escalation and enhanced internal and external support. High Risk projects typically involve complex risks that require specialist input to cover the specific disciplines, techniques, and local knowledge required to analyze them. For this reason, the SES require the use of independent expertise in the preparation of social and environmental assessments for High Risk projects. In addition, enhanced internal support should be utilized, including relevant UNDP thematic area specialists, to help ensure the proper scope and requirements of assessments. Regional Bureaus, Regional Hubs, and relevant expertise within the Bureau for Policy and Programme Support should be consulted. Consistent with the ERM Policy, all High Risk projects should be escalated to determine if additional Regional or Corporate support is needed and if risk ownership needs to be transferred to higher levels.

Status of Assessments and Management Plans

60. Question 5 also asks for information on the status of the required assessments and management plans. There are varying scenarios regarding when assessments and development of management measures/plans are to be conducted in relation to UNDP project approval. It should be noted that these scenarios are not mutually exclusive (a UNDP project may involve elements of both of them):

- ***Completed:*** Where possible, assessments and management plans should be completed during design stage of project to inform final design and appraisal. An Initiation Plan can be prepared to include the preparation of such assessments. In other cases, UNDP may be engaged to support components of an existing initiative for which an assessment has already been conducted by the partner or third parties. In such situations, UNDP draws on the assessment for analyzing UNDP's components of the broader initiative. For activities funded through UNDP accounts, UNDP will need to ensure that the assessment and management measures are consistent with UNDP's SES and would need to undertake further assessment if that is not the case.

- *Planned:* **Assessment and management measures/plans developed during project implementation**. For example, the project may include activities to conduct an assessment or support a partner-led assessment and stakeholder engagement process in the first phase of project implementation for the development of broader strategies and programmes. In such cases, the assessment or support to an assessment is an output of the project and would be funded through the project budget. Where the assessment leads to a recategorization of the project, then the revised SESP needs to be reviewed by the Project Board or a subsequent PAC process and the project Risk Register updated. ***In all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed, and discussed with stakeholders and in place prior to implementation of any activities that may cause adverse social and environmental impacts.*** Activities that cannot proceed until completion of assessments should be clearly identified in the Project Document. In cases where there is a potential for environmental and social impacts but the identification and assessment of those risks will not be possible until the implementation phase, then an Environmental and Social Management Framework should be developed.

Programming Principles and Project-level Standards

61. Question 5 also seeks to provide a clear overview of which Programming Principles and Project-level Standards require special focus in the project. For all identified risks rated to be Moderate, Substantial or High significance (in Question 3), the applicable SES Programming Principles (from a risk-based perspective) and Project-Level Standards need to be identified and carefully reviewed to ensure that the relevant SES requirements are integrated into project design. Responses to the completed Attachment 1– Social and Environmental Risk Checklist will also help guide responses to Question 5 since any "yes" responses indicate potential risk-based applicability of the relevant Principle and/or Standard. Screeners indicate under Question 5 the Principles and Standards that are triggered for the project.

Question 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High

62. Whereas under Question 5 screeners indicate the overall types of potential assessment and management measures/plans for the project and the applicable SES Programming Principles (from a risk perspective) and project-level Standards, Question 6 prompts users to provide more detail regarding the specific types of social and environmental assessment and management measures needed to address all identified risks rated Moderate, Substantial or High. This provides more contextual information that can be entered into the project Risk Register.

63. Principle- and Standard-related assessments and management plans may be stand-alone instruments or may be integrated into the project ESMP or ESMF (when required). For Standard-specific requirements and guidance, screeners should consult the relevant section of the SES and the SES Toolkit which provides links to related resources.

Signing of the SESP Social and Environmental Screening Report

64. Completion of the SESP Tool results in the project's Social and Environmental Screening Report. For project appraisal, the full design-stage report requires final sign off by the following people:

- **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.

65. The full design-stage screening report needs to be attached as an annex to the Project Document for project PAC review.

Annex 1. 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 at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	
2. Project Number (i.e. Atlas project ID, PIMS+)	
3. Location (Global/Region/Country)	
4. Project stage (Design or Implementation)	
5. Date	

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
Briefly describe in the space below how the project mainstreams sustainability and resilience
Briefly describe in the space below how the project strengthens accountability to stakeholders

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	QUESTION 3: What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5below before proceeding to Question 5*			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description (broken down by event, cause, impact)	*Impact and Likelihood (1-5)*	*Significance (Low, Moderate Substantial, High)*	*Comments (optional)*	*Description of assessment and management measures for risks rated as Moderate, Substantial or High*
Risk 1: ….	I = L =			
Risk 2 ….	I = L =			
[add additional rows as needed]				

	QUESTION 4: What is the overall project risk categorization?		
	Low Risk	☐	
	Moderate Risk	☐	
	Substantial Risk	☐	
	High Risk	☐	

	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)			
	Question only required for Moderate, Substantial and High Risk projects			
	Is assessment required? (check if "yes")	☐		*Status? (completed, planned)*
	if yes, indicate overall type and status		☐ Targeted assessment(s)	
			☐ ESIA (Environmental and Social Impact Assessment)	
			☐ SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes)	☐		
	If yes, indicate overall type		☐ Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	

				ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			☐	ESMF (Environmental and Social Management Framework)	
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?			**Comments (not required)**	
	Overarching Principle: Leave No One Behind				
	Human Rights	☐			
	Gender Equality and Women's Empowerment	☐			
	Accountability	☐			
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☐			
	2. Climate Change and Disaster Risks	☐			
	3. Community Health, Safety and Security	☐			
	4. Cultural Heritage	☐			
	5. Displacement and Resettlement	☐			
	6. Indigenous Peoples	☐			
	7. Labour and Working Conditions	☐			
	8. Pollution Prevention and Resource Efficiency	☐			

Final Sign Off

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

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.	
Overarching Principle: Leave No One Behind **Human Rights**	**Answer (Yes/No)**
P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	
P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	
P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	
Would the project potentially involve or lead to:	
P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	
P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [16]	
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	
Gender Equality and Women's Empowerment	
P.8 Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	
Would the project potentially involve or lead to:	
P.9 adverse impacts on gender equality and/or the situation of women and girls?	
P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	
P.11 limitations on 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*	
P.12 exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.*	

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[16] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, 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 and transsexual people.

Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
Accountability	
Would the project potentially involve or lead to:	
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	
P.14	grievances or objections from potentially affected stakeholders?	
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	
Project-Level Standards	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
Would the project potentially involve or lead to:	
1.1	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*	
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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?	
1.3	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)	
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	
1.5	exacerbation of illegal wildlife trade?	
1.6	introduction of invasive alien species?	
1.7	adverse impacts on soils?	
1.8	harvesting of natural forests, plantation development, or reforestation?	
1.9	significant agricultural production?	
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	
1.11	significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	
1.12	handling or utilization of genetically modified organisms/living modified organisms?[17]	
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[18]	
1.14	adverse transboundary or global environmental concerns?	
Standard 2: Climate Change and Disaster Risks	
Would the project potentially involve or lead to:	

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[17] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.
[18] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping 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*	
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	
3.7	influx of project workers to project areas?	
3.8	engagement of security personnel to protect facilities and property or to support project activities?	
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		
4.1	activities adjacent to or within a Cultural Heritage site?	
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	
4.3	adverse impacts to 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)	
4.4	alterations to landscapes and natural features with cultural significance?	
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	

5.2	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)?	
5.3	risk of forced evictions?[19]	
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	
6.2	activities located on lands and territories claimed by indigenous peoples?	
6.3	impacts (positive or negative) to 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 screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk*	
6.4	the 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?	
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	
6.8	risks to the physical and cultural survival of indigenous peoples?	
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		
7.1	working conditions that do not meet national labour laws and international commitments?	
7.2	working conditions that may deny freedom of association and collective bargaining?	
7.3	use of child labour?	
7.4	use of forced labour?	
7.5	discriminatory working conditions and/or lack of equal opportunity?	
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	

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[19] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

Standard 8: Pollution Prevention and Resource Efficiency	
Would the project potentially involve or lead to:	
8.1 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?	
8.2 the generation of waste (both hazardous and non-hazardous)?	
8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	
8.4 the 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 Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	
8.5 the application of pesticides that may have a negative effect on the environment or human health?	
8.6 significant consumption of raw materials, energy, and/or water?	

Annex 2. Indicative List of Social and Environmental High Risk Activities

The following types of activities may pose potential significant and/or irreversible adverse social and environmental risks and impacts and should generally be categorized as High Risk. High Risk activities may involve significant adverse impacts on physical, biological, socioeconomic, or cultural resources, and also include activities that raise significant concerns among potentially affected communities and individuals. Such adverse impacts may involve a range of human rights, gender, and/or environmental sustainability issues. High Risk activities typically require development of a full Environmental and Social Assessment (ESIA) or a Strategic Social and Environmental Assessment (SESA). An assessment of adverse impacts of High Risk activities – including direct, indirect, cumulative, and induced impacts – must include consideration of potential risks and impacts within the activity's area of influence.

Listed below are *indicative examples* of types of activities which should generally be categorized as High Risk. However, the final categorization of each project will depend on the nature and extent of any actual or potential adverse social and environmental impacts, as determined by the specifics of its design, operation, and location. The list is not exhaustive; other activities not listed may also require categorization as High Risk. Potential adverse risks and impacts may arise from projects that are site-specific and involve physical interventions ("downstream" activities) as well as "upstream" activities involving planning, policy and/or sector reform, and capacity building. Case examples of UNDP High Risk projects will be made available in the SES toolkit.

Projects with significant adverse social and/or environmental impacts
- projects which may result in significant adverse social impacts to local communities or other project affected parties
- projects which may involve significant displacement and/or resettlement[20]
- projects which may adversely impact the rights, lands, territories and resources of indigenous peoples
- projects which may adversely impact critical habitats
- projects which may result in significant adverse impacts to Cultural Heritage

Extraction and harvesting activities
- Groundwater abstraction activities or artificial groundwater recharge schemes in cases where the annual volume of water to be abstracted or recharged amounts to 10 million m^3 or more
- Industrial-scale commercial harvesting operations of tree plantations.
- Large-scale logging or deforestation of large areas
- Large-scale peat extraction
- Large-scale quarries and open-cast mining, and processing of metal ores or coal

Land, agriculture, livestock projects
- Large-scale land reclamation or sea dredging operations
- Large-scale primary agriculture or forestation, reforestation, or afforestation involving intensification, land use change or conversion of natural habitats, priority biodiversity features and/or critical habitats

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[20] Significant displacement and/or resettlement refers here to potential scale. projects involving physical resettlement and/or economic displacement are generally considered High Risk. However where potential displacement and/or resettlement may be minimal, UNDP may determine that its requirements could be met with application of standard best practice and mitigation measures without the need for a full ESIA.

- Industrial plants for the production of pulp from timber or similar fibrous materials or production of paper and board
- Large-scale installations for the intensive rearing of poultry or livestock
- Plants for the tanning of hides and skins where the treatment capacity exceeds 12 tonnes of finished products per day

Large-scale infrastructure (construction and/or expansion)
- Construction of motorways, express roads and lines for railway traffic; airports; new roads of four or more lanes; realignment and/or widening of existing roads to provide four or more lanes of 10 kilometers or more in a continuous length
- Large-scale sea and river ports and also inland waterways and ports for inland-waterway traffic; trading ports, piers for loading and unloading connected to land, and outside ports (excluding ferry piers)
- Large dams and complex dams[21] and other impoundments designed for the holding back or permanent storage of water, including, for example, for hydroelectric projects, water supply for irrigation or municipal water supply and other purposes, and flood control.

Large-scale energy and fuel projects, including transmission/transport (construction and/or expansion)
- Crude oil refineries
- Thermal power stations and other combustion installations (w/ heat output of at least 300 MW)
- Extraction of petroleum and natural gas for commercial purposes
- Installations for storage of petroleum, petrochemical, or chemical products
- Pipelines, terminals and associated facilities for the large-scale transport of gas, oil and chemicals
- Construction of high-voltage overhead, underground or submarine electrical power lines
- Large-scale wind power installations for energy production (wind farms)
- Installations for the capture of CO_2 streams (generally of 1.5 megatonnes or more) and construction of sites for the geological storage of CO_2

Waste and chemicals projects
- Waste-processing and disposal installations for the incineration, chemical treatment or landfill of hazardous, toxic or dangerous wastes
- Large-scale waste disposal installations for the incineration or chemical treatment of non-hazardous wastes (generally with capacity exceeding 100 tonnes per day)
- Municipal wastewater treatment plants with a capacity exceeding 150,000 population equivalent
- Municipal solid waste processing and disposal facilities
- Integrated chemical installations, i.e. those installations for the manufacture on an industrial scale of substances using chemical conversion processes, in which several units are juxtaposed and are functionally linked to one another and which are for the production of: basic organic chemicals; basic inorganic chemicals; phosphorous, nitrogen or potassium based fertilizers (simple or compound fertilizers); basic plant health products and biocides; basic pharmaceutical products using a chemical or biological process

Other
- Large-scale tourism and retail development

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[21] Large dams are defined as those with a height of 15 meters or more from the foundation. Dams that are between 5 and 15 meters high and have a reservoir of more than 3 million cubic meters are also classified as large dams. Complex dams are those of a height between 10 and 15 meters that present special design complexities, including an unusually large flood-handling requirement, location in a zone of high seismicity, foundations that are complex and difficult to prepare, or retention of toxic materials.