# Annex [#]. Social and Environmental Screening Template

*The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the* [*Social and Environmental Screening Procedure*](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) *and* [*Toolkit*](https://intranet.undp.org/unit/bpps/DI/SES_Toolkit) *for guidance on how to answer the 6 questions.*

**Project Information**

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| ***Project Information*** |  |
| 1. Project Title | Sustainable Environmental Management and Enhanced Resilience (SEMER) in Namibia |
| 1. Project Number | 00123453 |
| 1. Location (Global/Region/Country) | Namibia |

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

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| **QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?** |
| ***Briefly describe in the space below how the Project mainstreams the human-rights based approach*** |
| This project seeks to strengthen Namibia’s efforts to ensure sustainable environment and enhanced resilience. Contributing to this is the fact that the environment is currently faced by challenges associated with biodiversity conservation; including poaching, illegal wildlife trade and human-wildlife conflicts; land degradation, and the impacts of climate change. However, lack of awareness, absence of knowledge management and exchange, limited human resources and technical capacities hinder environmental management. To reverse this situation, the project will seek to place significant efforts in awareness raising, knowledge exchange, and in capacity building around wildlife crime, human wildlife conflicts, climate change related issues, and environmental protection at large, which includes prevention of negative environmental impacts. This will help to promote a sense of connection to the natural world among the people, and will encourage their interest in the conservation of natural resources, and in environmental management at large. In addition, knowledge exchange places people in a position to scale up solutions to specific issues. This is due to the fact that the most latest and relevant knowledge is shared through knowledge sharing and exchange, which provides necessary guidance towards addressing the issue at hand. Furthermore, knowledge sharing leads to action, and promotes synergies among institutions, such that people, teams and institutions get motivated to work together using systems and processes to reach the shared goal in the most efficient way.  In general, dealing with environmental challenges requires continual sharing of knowledge, given the fact that it allows people to learn and understand how to best achieve the target goal. This is due to the fact that through knowledge sharing or exchange, information, skills, experiences and expertise are shared within and across organisations and institutions. In the context of development, knowledge sharing and exchange is necessary between institutions or organization, such that those that have accumulated a wealth of knowledge and experience may benefit the ones with limited knowledge. While sharing knowledge is important, it is also important to utilize the acquired knowledge to become more effective when it comes to solving operational problems.  Furthermore, through building human capacities to address environmental issues, individuals will place their organisations and institutions in positions to better address the environmental issues at hand. |
| ***Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment*** |
| Gender aspects will be included during project implementation. Through the project, capacities for men and women to address environmental issues will be build, and their awareness levels for environmental issues will be elevated. Where possible, activities aiming to empower women will be implemented. |
| ***Briefly describe in the space below how the Project mainstreams environmental sustainability*** |
| To ensure environmental sustainability, the project will contribute to conservation efforts, with particular focus on wildlife crime and human wildlife conflicts. It will also make contribution to the review of the Nationally Determined Contributions (NDCs) to the global efforts to address climate change, for the purpose of reporting to the United Nations Framework Convention on Climate Change. Furthermore it will contribute to improved environmental governance. These will further be strengthened through increased awareness raising efforts, sound knowledge management, increased human resources and capacity building*.* |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?**  *Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?**  *Note: Respond to Questions 4 and 5 below before proceeding to Question 6* | | | | **QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?** | |
| ***Risk Description*** | ***Impact and Probability (1-5)*** | ***Significance***  ***(Low, Moderate, High)*** | ***Comments*** | | ***Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*** | |
| Risk 1: Poaching tactics are increasingly becoming sophisticated, and poachers might be using sophisticated methods compared to the ones normally used. | I = 3  P = 3 | **Moderate** | The project will seek to contribute to government’s effort to dealing with wildlife crime from a wider perspective | | There is a need to constantly and consistently engage with neighbouring and other countries and partners with technical expertise in dealing with poaching. | |
| Risk 2: Wildlife crime and human-wildlife conflicts are unpredictable | I = 2  P = 1 | **Moderate** | Addressing wildlife crime and human wildlife crime issues in all occasions will be made possible through increased awareness raising efforts and knowledge exchange | | Awareness on wildlife crime and on dealing with human-wildlife conflicts should be widely raised, especially in wildlife crime hotspots and surrounding areas, and in the areas where wildlife ranges overall communal areas. In addition, knowledge exchange activities will be organized with the relevant stakeholders, including the most vulnerable people. | |
| Risk 3: Building technical capacities for dealing with environmental issues does not guarantee retention of human resources within the respective institutions | I = 2  P = 1 | **Low** | The project will make efforts to contribute to capacity building for all relevant personnel, meaning that even if some of them leave their respective institutions, those remaining will still be in a good position to carry out the necessary activities. | | Capacity building activities to be organized will include training of all relevant personnel, including potential future trainers | |
| Risk 4: If the conditions of the NDCs are not clearly defined, reviewing them may be a challenge | I = 2  P = 2 | **Moderate** | Priority will be placed in setting clear conditions of NDC implementation**.** | | The conditions of NDC implementation should be clearly set, and consultations with all relevant contributors to the NDC review should be nation wide | |
| Risk 5: Despite the promotion of the use of renewable energy among undeserved communities, funds might not be available to provide them | I = 1  P = 2 | **Low** | The project will seek to develop partnerships with potential donors | | Institutions and organizations already dealing with renewable energy aspects to be encouraged to invest into the provision of efficient energy technologies to undeserved communities | |
| Risk 6: Although there is a need to mainstream gender in the project activities, women empowerment on its own might not materialize, as both men and women are potential beneficiaries | l = 1  P = 2 | **Low** | The project will seek to promote gender mainstreaming on all aspects as much as possible, particularly through supporting other MET supported projects having similar goals, particularly those supporting women empower. | | Efforts will be made to mainstream gender on project activities, with particular focus on women empowerment. | |
| Risk 7: Illegal small-scale mining activities is possible in the absence of closer monitoring of the mining sites. | l = 3  P = 3 | **Moderate** | The project should encourage regular monitoring visits to the mining hotspots by the Ministry of Mines and Energy (MME). | | The MME should include regular and *ad hoc* mining inspection activities in its annual work plans. | |
| Risk 8: Poor environmental and occupational health practices may lead to negative environmental and health impacts. | l = 4  P = 3 | **High** | Environmental Management Plans (EMPs) and health and safety guidelines for small-scale mining need to be in place. | | Through the project, Environmental Impact Assessments (EIAs) for SSM hotspots will be conducted, after which EMPs will be developed. In addition, Environmental, Health and Safety guidelines for small scale miners will be developed through the project. Furthermore, small scale miners will be trained on implementation on EMPs and will be provided with the operational guidelines.z | |
|  | **QUESTION 4: What is the overall Project risk categorization?** | | | | | |
| **Select one (see** [**SESP**](http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-screening-procedure.html) **for guidance)** | | | | | **Comments** |
| ***Low Risk*** | | | **☐**  **✔ ✔X** | |  |
| ***Moderate Risk*** | | | **☐** | |  |
| ***High Risk*** | | | **☐** | |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?** | | | | |  |
| Check all that apply | | | | | **Comments** |
| ***Principle 1: Human Rights*** | | | **☐✔** | | Addressing the identified environmental issues will require human intervention. |
| ***Principle 2: Gender Equality and Women’s Empowerment*** | | | **☐** | |  |
| ***1. Biodiversity Conservation and Natural Resource Management*** | | | **☐✔** | | Addressing wildlife crime and human wildlife conflicts is a significant contribution to biodiversity conservation and natural resources management. |
| ***2. Climate Change Mitigation and Adaptation*** | | | **☐✔** | | The climate action required by the UNFCCC through climate promise is the review of the NDCs, which include both climate change mitigation and adaptation. |
| ***3. Community Health, Safety and Working Conditions*** | | | **☐**  **✔** | | The health and safety for small scale miners operating in SSM hotspots will be prioritized. |
| ***4. Cultural Heritage*** | | | **☐** | |  |
| ***5. Displacement and Resettlement*** | | | **☐** | |  |
| ***6. Indigenous Peoples*** | | | **☐** | |  |
| ***7. Pollution Prevention and Resource Efficiency*** | | | **☐✔** | | The project will promote the use of renewable energy. |

**Final Sign Off**

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| ***Signature*** | ***Date*** | ***Description*** |
| QA Assessor | 12 June 2020 | Irish Goroh, Project Manager |
| QA Approver |  | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD)**,** Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC. |
| PAC Chair |  | UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC. |

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

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| **Checklist Potential Social and Environmental Risks** |  |
| **Principles 1: Human Rights** | **Answer  (Yes/No)** |
| 1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | Yes |
| 2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [[1]](#footnote-1) | No |
| 3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups? | Yes |
| 4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them? | No |
| 5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | No |
| 6. Is there a risk that rights-holders do not have the capacity to claim their rights? | No |
| 7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | Yes |
| 8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| **Principle 2: Gender Equality and Women’s Empowerment** |  |
| 1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls? | No |
| 2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | No |
| 3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment? | No |
| 4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being* | No |
| **Principle 3: Environmental Sustainability:** Screeningquestions regarding environmental risks are encompassed by the specific Standard-related questions below |  |
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| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| 1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | No |
| 1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities? | No |
| 1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5) | No |
| 1.4 Would Project activities pose risks to endangered species? | No |
| 1.5 Would the Project pose a risk of introducing invasive alien species? | No |
| 1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation? | No |
| 1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species? | No |
| 1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water?  *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | No |
| 1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) | No |
| 1.10 Would the Project generate potential adverse transboundary or global environmental concerns? | No |
| 1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?  *For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.* | No |
| **Standard 2: Climate Change Mitigation and Adaptation** |  |
| 2.1 Will the proposed Project result in significant[[2]](#footnote-2) greenhouse gas emissions or may exacerbate climate change? | No |
| 2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change? | No |
| 2.3 Is the proposed Project likely to directly or indirectly increase social and environmental [vulnerability to climate change](#CCVulnerabilityGlossary) now or in the future (also known as maladaptive practices)?  *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No |
| **Standard 3: Community Health, Safety and Working Conditions** |  |
| 3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)? | No |
| **Standard 4: Cultural Heritage** |  |
| 4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| 5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement? | No |
| 5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)? | No |
| 5.3 Is there a risk that the Project would lead to forced evictions?[[3]](#footnote-3) | No |
| 5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources? | No |
| **Standard 6: Indigenous Peoples** |  |
| 6.1 Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  *If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.* | No |
| 6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned? | No |
| 6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? | No |
| 6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | Yes |
| 6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples? | No |
| 6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? | No |
| **Standard 7: Pollution Prevention and Resource Efficiency** |  |
| 7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)? | No |
| 7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)? | No |
| 7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol* | No |
| 7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health? | No |
| 7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water? | No |

1. Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to “women and men” or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals. [↑](#footnote-ref-1)
2. In regards to CO2, ‘significant emissions’ corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.] [↑](#footnote-ref-2)
3. Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections. [↑](#footnote-ref-3)