

DocuSign Document Review and Clearance Form**I. Requester details**

Name	Gwyneth Palmos
Unit	Climate Action
Date	

II. Purpose of request

Sign-off of SHIELD Program SESP and ESMF

Note: The SESP and ESMF has gone through QA from BRH and comments have been addressed accordingly in November 2021 prior to LPAC. This has been endorsed accordingly by LPAC on 22 November 2021.

III. Documents submitted for review (Please list down all contents of DocuSign envelope)

1. SHIELD Program SESP and ESMF
2. Email from BRH re: QA of SESP and ESMF and comments received
3. LPAC Minutes

IV. Document review and clearance

Required to sign:	Unit	Name	Signature	Date	Comments
	Climate Action	Gwyneth Palmos	DocuSigned by: 		
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Social



Environmental

**Australian
Aid** 



Social and Environmental Screening (SES) Report and Environmental and Social Management Framework (ESMF)

**Strengthening Institutions and Empowering Localities Against Disasters and Climate
Change (SHIELD) Program**

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01

Social and Environmental Screening (SES) Report

1.1 Background

The United Nations Development Programme (UNDP) Social and Environmental Standards (SES) aims to advance a principled programming anchored on sustainable development and optimum social and environmental benefits through risk and impacts mitigation, management, monitoring and stakeholder engagement.

This report provides the results of the screening, assessment, and management plan to address any identified risks associated with the SHIELD Program. The results amplify the project's adherence to the three elements of the SES: (1) Programming Principles, (2) Project-level Standards, and (3) Social and Environmental Management System.

The screening process has integrated the social and environmental sustainability aspects, scrutinized the foreseen program risks, and presents the full potential and benefits of the Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD) Program in the context of sustainable development and resilience.

1.2 Methodology

1.2.1 Applicable Projects for Screening

All development projects under the three components of SHIELD, except those that fall under the exemption criteria have been screened to ensure conformance to the UNDP SES. These include the proposed outputs per component that may have potential impacts on the environment and communities.

Outputs that entail on-the-ground activities such as establishing facilities ("**downstream activities**") and may influence the decisions including planning support, policy, and capacity building ("**upstream activities**") are to undergo screening as they may lead to long-term impacts and risks.

For the initiation phase, the outputs per deliverable have been identified for two purposes of the SES: (1) exempted from SES and (2) screened for potential social and environmental risks and impacts. Each development output was delineated based on the nature of activities.

1.2.2 Screening Exemption Criteria

Projects exempted from the SES screening process are composed mostly of technical assistance in the form of training, capacity building, and partnerships.

The SESP exclusion include the outputs that consist **solely** of the following nature of activities:

- a) UNDP serves as Administrative Agent;
- b) Preparation and dissemination of reports, documents and communication materials;
- c) Organization of an event, workshop, and training;
- 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); and
- g) Development Effectiveness projects and Institutional Effectiveness projects.

1.2.3 Social and Environmental Risk Identification

The review involved identifying the potential direct and indirect impacts to the area of influence (AoI). The screening encompassed the upstream and downstream activities.

Table 1 summarizes the questions, UNDP SES standards and parameters used for the risk identification and assessment of risks on the environment, target site communities, and key stakeholders.

Table 1. UNDP SESP guidance questions, principles, standards, and parameters

SESP Guide Question	Programming Principles	Description/Parameters		
Question 1: How Does the Project Integrate the Programming Principles in order to strengthen Social and Environmental Sustainability?	(1) Leave no one behind (2) Human rights	Describe how the project mainstreams the human rights-based approach		
	(3) Gender equality and women's empowerment	Describe how the project is likely to improve gender equality and women's empowerment		
	(4) Sustainability and resilience	Describe how the project mainstreams sustainability and resilience		
	(5) Accountability	Describe how the project strengthens accountability to stakeholders		
SESP Guide Question	Project-Level Standards	Description/Parameters		
Question 2: What Are the Potential Social and Environmental Risks? Question 3: What is the Level of Significance of the Potential Social and Environmental Risks? Question 3: What is the Overall Social and Environmental Risk Categorization of the Project? Question 4: What is the Overall Social and Environmental Risk Categorization of the Project? Question 5: Based on the identified risks and significance, what requirements of the SES are triggered?	Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	<ul style="list-style-type: none"> Modified habitats Natural habitats Mitigation hierarchy Use of biodiversity offsets Critical habitats Illegal trade Protected areas Management of ecosystem services Invasive species 	<ul style="list-style-type: none"> Biosafety and genetic resources Forests Water resources Soil Management Sustainable management of living natural resources Access and Benefits Sharing Primary Supplies 	
	Standard 2: Climate Change and Disaster Risks	<ul style="list-style-type: none"> Climate change and disaster risk analysis, planning and implementation Invasive species Greenhouse gases (GHG) 		
	Standard 3: Community Health, Safety and Security	<ul style="list-style-type: none"> Community health and safety: Assessments and management plans Exposure to both accidental and natural hazards Community exposure to health issues Infrastructure design and safety Universal access Hazardous materials management and safety Emergency preparedness Risks associated with influx of project workers Impacts on ecosystem services Security-related issues 		
	Standard 4: Cultural Heritage	<ul style="list-style-type: none"> Cultural heritage site Cultural heritage of Indigenous Peoples Tangible and intangible cultural heritage Chance find procedures Community participation, stakeholder consultations and use of experts Continued access Confidentiality and restricted access by communities Integration and use of Cultural Heritage Commercial activities involving cultural heritage Legally protected cultural heritage areas Specific types of cultural heritage: archaeological sites and materials, built heritage, landscapes and natural features with cultural significance, and movable cultural heritage 		
	Standard 5: Displacement and Resettlement	<ul style="list-style-type: none"> Prohibit forced evictions, allowing evictions in exceptional circumstances only Avoid, minimize and mitigate physical and economic displacement Develop plans for displacement Action plans to address displacement impacts 		

		<ul style="list-style-type: none"> • Resettlement Action Plan • Physical displacement • Economic displacement • Addressing prior displacement • Monitoring and completion analysis
	Standard 6: Indigenous Peoples	<ul style="list-style-type: none"> • Respect for domestic and international law • Identification of indigenous peoples • Land, territories, and resources • Legal personality • Involuntary resettlement • Relocation • Full, effective, and meaningful participation and FPIC • Documentation • Prior social and environmental impact study • Appropriate benefits • Support rights implementation • Special considerations: gender, vulnerable and marginalized indigenous peoples, Uncontacted and voluntarily isolated indigenous peoples, and cultural heritage • Indigenous Peoples Plan • Monitoring
	Standard 7: Labour and Working Conditions	<ul style="list-style-type: none"> • Terms and conditions of employment • payment of wages • written notice of termination of employment and details of severance payments • Non-discrimination and equal opportunity • measures of protection and assistance to vulnerable workers • Measures against violence and harassment • Workers organizations • Forced labour • Child labour • Occupational safety and health (OSH) • Workplace mechanisms • Access to safe and healthy facilities • Accident investigations • Workplace grievance mechanism • Contractor/Third Party Workers • Primary Supplier Workers • Procurement risk controls
	Standard 8: Pollution Prevention and Resource Efficiency	<ul style="list-style-type: none"> • Pollution prevention • Ambient considerations • Wastes • Hazardous materials • Pesticide use and management • Resource efficiency • Water usage

1.2.4 Risk Rating and Categorization

The significance of the risk is determined by estimating the level of impact and likelihood of its occurrence. Both the impact and likelihood of the Identified risk are measured from a scale of 1 (low) to 5 (high).

Evaluating the significance of a risk is guided by a matrix of impact and likelihood resulting to a risk categorization (i.e. Low, Moderate, Substantial, and High) (**Table 2**). The corresponding color codes and descriptions are reflected in **Figure 1** and **Table 3**, respectively.

Table 2. 'Impact' and 'Likelihood' rating of a risk

Impact Rating			Likelihood Rating	
Score	Rating	Impact	Score	Rating
5	Extreme	Significant adverse impacts of large-scale magnitude and/or spatial extent and duration	5	Expected
4	Extensive	Adverse impacts of considerable magnitude, spatial extent, and duration	4	Very likely
3	Intermediate	Impacts of medium magnitude, site-specific and, can be avoided, managed and/or mitigated	3	Moderately likely
2	Minor	Very minor impacts in terms of severity and magnitude, may be easily avoided, managed, and mitigated	2	Low likelihood
1	Negligible	Negligible or no adverse impacts on communities, individuals, and/or environment	1	Not likely

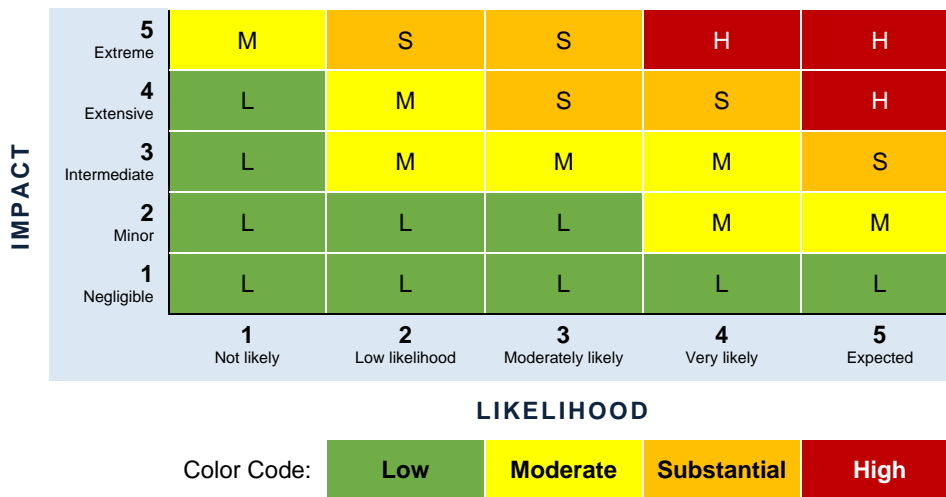


Figure 1. Risk significance level scoring matrix

Table 3. Overall risk significance level description

Overall Rating Score	Overall Risk Significance Level
Low	Activities with minimal or no adverse social or environmental risks and impacts; no further assessment is needed; SES Programming Principles and stakeholder engagement requirements still apply.
Moderate	Activities with potential adverse social and environmental risks and impacts that are limited in scale, are largely reversible and can be identified with a reasonable degree of certainty and readily addressed.
Substantial	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.
High	Activities with potential significant adverse social and environmental risks and impacts that are irreversible, unprecedented and/or which raise significant concerns among communities; typically involve a range of issues regarding the SES Programming Principles and Project-level Standards; and requires enhanced internal and external support. Downstream activities that (i) may adversely impact critical habitats, (ii) involve significant displacement and/or resettlement, (iii) produce significant quantities of greenhouse gases, (iv) may adversely impact the rights, lands, resources and territories of the indigenous peoples, or (v) other circumstances that reflect potentially significant adverse impacts.

1.3 SES Screening Results

1.3.1 Activity Exclusion and Screening

Projects exempted from the SES screening process are composed mostly of technical assistance in the form of training, capacity building, and partnerships. Justifications for the exclusion by virtue of the SESP exemption criteria are indicated in **Table 4**.

Table 4. Exempted output and activities from SES screening requirement

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
Outcome 1: Government, private sector, and civil society stakeholders in targeted local government units (LGUs) are collaborating to unlock funding and implementing informed and inclusive resilience actions			
Deliverable 1: Specialist brokers are fostering collaborative and inclusive local multi-stakeholder partnerships (MSPs) and facilitating successful LGU proposals, financing, and implementation.			
Output 1.1 Engagement with LGUs established	<ul style="list-style-type: none"> Conduct of comprehensive and participatory capacity assessment and political economy analysis in all target LGUs Develop LGU engagement strategy, including selection of municipalities/cities and co-financing Establish partnership agreement with LGUs Conduct of Peace Conflict Development Analysis for BARMM, including selection of LGUs and communities 	(e.) Partnership coordination (including UN coordination) and management of networks (g.) Development Effectiveness projects and Institutional Effectiveness projects.	-
Output 1.2 Multi-Stakeholder Partnerships (MSPs) established and engaged in resilience planning, financing, and implementation of resilience actions	<ul style="list-style-type: none"> Conduct multi-stakeholder mapping and assessment with the partner LGUs Conduct capacity needs assessment and develop capacity development plan for each stakeholder Establish local multi-stakeholder partnerships in each LGU Implement capacity building interventions for MSPs Facilitate implementation of resilience actions of MSPs Establish cross-boundary linkages among MSPs 	-	Upstream activities in the form of planning support, policy advice, and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 1.3 Capacity development program for target LGUs developed and implemented	<ul style="list-style-type: none"> Conduct of capacity assessment for each LGU Develop capacity building program Implement capacity development interventions Assess results of capacity development 	-	Upstream activities in the form of capacity building which may present risks that are

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
<p>Output 1.4 A robust data ecosystem that guides inclusive risk-informed planning, prioritization and resource allocation at the LGU level-established</p>	<ul style="list-style-type: none"> • Learning exchange among LGUs • Conduct mapping of existing or baseline database platforms and recommend integration mechanism • Develop framework for LGU data ecosystem for resilient development, including establishing data standards and designing data architecture, to include GEDSI requirements • Identify recommendations for investment per LGU • Provide technical assistance in establishing data platform/ecosystem, including trainings on community preparation and engagement; geotagging and enumeration surveys; analytics and visualizations; data cleaning; community validation • Data sharing protocols specific for each LGU, linked with national platform 	-	<p>predominantly indirect, long-term or difficult to identify.</p> <p>Upstream activities that may influence planning and policies of LGUs (policy advice), thus potentially posing long-term risks on data privacy and other social resilience interventions</p>
<p>Output 1.5 Risk- and resilience-informed plans, investment programs and budget prepared</p>	<ul style="list-style-type: none"> • Conduct comprehensive risk assessment with MSPs • Conduct joint visioning on resilience outcomes with MSPs • Conduct of consultations and trainings on project prioritization, CBA/MCA, and trade off analytics • Conduct trainings on resilience financing, developing risk-informed LDIP; mentoring/coaching on enhanced PAPs • Conduct of mentoring on developing and finalizing risk and resilience informed Annual Investment Programme and implementation plan including multi-stakeholder investments and financing program • Conduct workshops on climate change expenditure tagging and report development • Conduct inter-LGU planning and consultations and resilience building trainings and planning workshops • Support policy development 	-	<p>Upstream activities in the form of capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.</p>

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<ul style="list-style-type: none"> Conduct process documentation and develop case studies and knowledge products 		
Output 1.6 Bankable proposals developed and funded	<ul style="list-style-type: none"> Conduct mapping and assessment of funding windows (public, private, domestic, international), including requirements and analysis of bottlenecks for accessing Develop guide/checklist in developing bankable proposals according to requirements of varying funding windows, including standards/guidance in integrating resilience, GEDSI and SES Provide technical assistance, including quality assurance, in the development of proposals, in collaboration with MSPs 	(b.) Preparation and dissemination of reports, documents and communication materials; (c.) Organization of a workshop; (d.) Strengthening capacities of partners to participate in international negotiations and conferences; (e.) Partnership coordination (including UN coordination) and management of networks	-
Output 1.7 Local Monitoring, Evaluation and Learning (MEL) system established	<ul style="list-style-type: none"> Conduct mapping of existing MEL platforms and recommend integration mechanism Develop local MEL framework linked with national MEL Provide technical assistance in establishing and operationalizing local MEL Pilot Resilience Index to target LGUs Capacity development on generating and utilizing evidence from local MEL for accountability, policy making, and decision-making Promote MEL to improve accountability and citizen participation, including through training of MSPs and local community groups on the use of DEVLIVE App, a mobile based tool adopted by DILG Develop and disseminate knowledge products emanating from MEL 		Upstream activities in the form of planning support, policy advice, and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 1.8 Resilience of value chains improved	<ul style="list-style-type: none"> Conduct value chain analysis, informed by risk assessment, for critical/priority sectors Conduct of training the assessment tools Develop the capacity-building framework for LGUs and business sector on value chain resilience Support implementation of priority capacity-building interventions Conduct multisectoral planning 	-	Upstream activities in the form of planning support and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
Output 1.9 LGU Surge Capacity during significant natural hazard/conflict events	<ul style="list-style-type: none"> Support development of business continuity plan (BCP) of LGU with MSPs Implement surge interventions as needed 	-	The planning support through development of BCPs and interventions may have a long-term impact on the LGU's preparation and response against natural hazard/conflict events
OUTCOME 2: Relevant national government agencies (NGAs) are prioritizing action on local climate and disaster resilience			
Deliverable 2: Policy influence is fostering prioritization of climate and disaster resilience actions.			
Deliverable 3: Technical advice is enabling LGUs and NGAs to monitor and evaluate local climate and disaster resilience actions.			
Output 2.1 Framework to organize and guide policy reform support developed	<ul style="list-style-type: none"> Conduct assessment of policies, including political economy analysis and cost-benefit analysis Co-develop policy reform framework with national MSP Develop national engagement strategy Support implementation of policy reform framework Conduct GEDSI policy research and strategy 	-	Upstream activities in the form of planning support which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.2 Multistakeholder partnerships established and engaged in policy development and advocacy towards resilient development	<ul style="list-style-type: none"> Conduct multi-stakeholder mapping and assessment at the national level Conduct capacity needs assessment and develop capacity development plan for each stakeholder Establish national multi-stakeholder partnership and convergence platform Implement capacity building interventions for national MSP Facilitate active involvement of MSPs in policy development 	-	Upstream activities in the form of planning support and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.3 Rationalized/harmonized procedures and requirements for local resilience planning, investment programming, budgeting and accessing funds at national and local levels adopted	<ul style="list-style-type: none"> Support harmonization of risk and resilience assessment methodology and mainstreaming into CDP, CLUP and PDPFP developed and adopted by government (covering CDRA, CRMF, and CLIRAM tools, other tools plus introduction of resilience in the assessment) Support to rationalization of multiple planning requirements for LGUs, including updating of JMC No. 1 Series 2016 on rationalized local planning and budgeting 	-	Upstream activities in the form of planning support and policy advice which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<ul style="list-style-type: none"> • Support development of guidelines for Mainstreaming Risk and Resilience in Project Development • Support updating guidelines on utilization of Local DRRM Fund, Local Development Fund and improvements in local budgeting for resilience (DBM related which releases budget circular and joint MCs with DILG) • Improved guidelines for access and utilization of NDRRMF, PSF and other grants • Pursue rationalization and harmonization of other policies as they may evolve during implementation 		
Output 2.4 New/enhanced inclusive resilience framework, plans, policies, and strategies adopted	<ul style="list-style-type: none"> • Support to operationalization of the NCRMF, updated NDRRMF and Plan, updated NCCAP/NAP and the NDC • Support to formulation of national resilience framework, plans, policies, and strategies (in support of emerging needs in the course of implementation, including possible support to new DDR) • Policy paper/brief development, expert peer review 	-	Upstream activities in the form of planning support and policy advice which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.5 Resilience Financing Platform established, and resilient investments supported	<ul style="list-style-type: none"> • Conduct mapping and assessment of financing mechanisms to inform rationalization and advocacy towards reducing fragmentation and increasing complementation across funding streams • Support strengthening of the Resilience Financing Framework, together with NGAs, linked with Climate Finance Platform • Support private sector in establishing resilience financing platform to ensure their business continuity across the value chains, and identify business opportunities from resilient investments 	(b) Preparation and dissemination of reports, documents and communication materials; (e) Partnership coordination (including UN coordination) and management of networks; and/or (g) Development Effectiveness projects and Institutional Effectiveness projects.	-
Output 2.6 Support to BARMM Government	<ul style="list-style-type: none"> • Develop capacity development programme based on PCDA analysis under Outcome 1 • Implement capacity development interventions across BARMM ministries 	-	Upstream activities in the form of capacity building interventions which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<ul style="list-style-type: none"> Support operationalization of Bangsamoro Community Resilience (CoRe) framework 		
Output 2.7 Enhanced national MEL for resilience established	<ul style="list-style-type: none"> Conduct of assessment of existing MEL systems, recommendations for enhancement, including framework, design, and strategy of enhanced MEL, linked to local MEL Technical assistance in the establishment of MEL infrastructure Capacity building for NGAs and stakeholders Establish knowledge and innovation platform from MEL, including Resilience Learning Design Lab Capacity development on utilization of evidence from national MEL for accountability, policy making, and decision-making Develop policy briefs based on data generated from national MEL 	-	Upstream activities in the form of planning support and capacity building in the context of national MEL for resilience which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.8 National resilience index piloted and institutionalized	<ul style="list-style-type: none"> Establish resilience index (national and subnational scale) that takes into account the ex-ante, actual impacts, and ex-post elements of state and effects of natural hazards, including specific indicators and factors under socio-economic, ecological and governance systems (also taking into account multidimensional risks, to extent possible) Conduct pilot testing and application of analytical resilience models in two scales with dual objectives: (a) regional political-administrative boundary for easier integration in the current spatial and development planning, public investment programming, and budgeting systems, which will be integrated into the national composite index; and (b) upland, lowland, or coastal ecosystem levels for direct application to landscape domains and approaches focusing on the management of critical ecosystems; Develop the technical capacity and knowledge systems of national and local government to apply and use the methodology of resilience index in plan formulation, monitoring and 	-	Upstream activities in the form of planning support and policy advice which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<p>reporting (e.g., trainings/workshops, data infrastructure systems, and information, education, and communication campaigns)</p> <ul style="list-style-type: none"> Develop an approach/mechanism for institutionalization, replication and scaling-up. 		
Output 2.9 Improved national data ecosystem for resilient development	<ul style="list-style-type: none"> Support improving interoperability of existing CC-DRR/resilience databases Support establishment of resilience data access and sharing protocols Support to establishing data platforms, including National Loss and Damage Registry 	(g) Development Effectiveness projects and Institutional Effectiveness projects.	-
OUTCOME 3: Philippine scientific agencies are producing tailored and accessible information for local resilience action			
Deliverable 4: Collaboration between Philippine and Australian scientific agencies is improving the quality and accessibility of climate and hazard information products and services for LGU planners.			
Output 3.1 Collaboration between Philippine and Australian science agencies established	<ul style="list-style-type: none"> Resource and coordinate collaborations between Australian and Philippine scientific agencies, with a view to improving data and modelling Conduct a multi-stakeholder forum to ensure that the information produced reflects what is required to build resilience for all people, groups, and sectors 	<p>(e) Partnership coordination (including UN coordination) and management of networks; and/or</p> <p>(f) Global/regional projects with no country-level activities (e.g. activities such as knowledge management, inter-governmental processes</p>	-
Output 3.2 Credible and accessible technical and scientific information is available for LGU planning and proposal development	<ul style="list-style-type: none"> Tailor the information for LGU accessibility, and promoting an interdisciplinary approach that is inclusive of and reflects the socio-economic dimensions of resilience strengthening To be defined during scoping mission with Australian science agencies 	<p>(b) Preparation and dissemination of reports, documents, and communication materials</p> <p>(f) Global/regional projects with no country-level activities (e.g. activities such as knowledge management, inter-governmental processes);</p>	-

1.3.2 Summary of Activities for SES Exclusion and Screening

The two initial classification of activities based on the nature and function are as follows:

Table 5. List of activities exempted and subject for SES screening

Activities for SES Exclusion	Activities for SE Screening
Outcome 1 Collaboration	
Deliverable 1 Specialist brokers	
Output 1.1 Engagement with LGUs Output 1.6 Bankable proposals developed and funded	Output 1.2 Multi-Stakeholder Partnerships (MSPs) Output 1.3 Capacity development program for target LGUs Output 1.4 Robust data ecosystem for inclusive risk-informed planning Output 1.5 Risk- and resilience-informed plans, Output 1.7 Local Monitoring, Evaluation and Learning (MEL) Output 1.8 Resilience of value chains improved Output 1.9 LGU Surge Capacity
Outcome 2 National priority action	
Deliverable 2: Policy influence	
Deliverable 3: Technical advice on monitoring and evaluation	
Output 2.5 Resilience Financing Platform Output 2.9 Improved national data ecosystem	Output 2.1 Framework for policy reform support Output 2.2 MSP for policy development Output 2.3 Harmonization of local resilience planning and investment Output 2.4 Inclusive framework , plans, and policies Output 2.6 Support to BARMM Government Output 2.7 Enhanced national MEL Output 2.8 National resilience index
Outcome 3: Philippine scientific agencies	
Deliverable 4: Collaboration between Philippine and Australian scientific agencies	
Output 3.1 Collaboration between Philippine and Australian science agencies Output 3.2 Accessibility of scientific information	-

Remaining activities underwent the social and environmental screening process to identify any potential indirect and long-term risks, as guided by the SESP. These upstream activities include the planning support, policy intervention, and capacity building works offered by UNDP and its consortium to the partner stakeholders, national agencies, private sector, and local communities.

Actual activities are to be identified together with the stakeholders in the succeeding phase of the SHIELD Program.

1.3.3 Social and Environmental Screening Checklist

Development projects, except those excluded from the screening requirement, have been initially scrutinized based on the UNDP screening checklist to gauge any potential social and environmental risks, and eventually, serve as a guide for the identification of risks, assessment, and overall categorization and management (Table 6).

Table 6. Social and Environmental Screening Checklist Results

Checklist Potential Social and Environmental Risks		Answer Yes (Y) or No (N)
Activities under each outcome and deliverable		
Overarching Principle		
Principle 1: Leave No One Behind / Human Rights		
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)?	N
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?	Y
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	Y
<i>Would the project potentially involve or lead to:</i>		
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?	Y
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? ¹	Y
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?	Y
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	N
Principle 2: 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)?	N
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	Y
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Y
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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	Y
P.12	exacerbation of risks of gender-based violence? <i>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.</i>	N
Principle 3: Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Principle 4: Accountability		
<i>Would the project potentially involve or lead to:</i>		

¹ 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.

Checklist Potential Social and Environmental Risks		
Activities under each outcome and deliverable		Answer Yes (Y) or No (N)
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?	Y
P.14	grievances or objections from potentially affected stakeholders?	Y
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?	N
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	N
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?	N
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)	N
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	N
1.5	exacerbation of illegal wildlife trade?	N
1.6	introduction of invasive alien species?	N
1.7	adverse impacts on soils?	N
1.8	harvesting of natural forests, plantation development, or reforestation?	N
1.9	significant agricultural production?	N
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	N
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	N
1.12	handling or utilization of genetically modified organisms/living modified organisms? ²	N
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ³	N
1.14	adverse transboundary or global environmental concerns?	N
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunamis or volcanic eruptions?	Y
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	Y
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)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	Y
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N

² See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

³ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

Checklist Potential Social and Environmental Risks		
Activities under each outcome and deliverable		Answer Yes (Y) or No (N)
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
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)	N
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	N
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	N
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	N
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)?	N
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	N
3.7	influx of project workers to project areas?	N
3.8	engagement of security personnel to protect facilities and property or to support project activities?	N
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	N
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	N
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)	N
4.4	alterations to landscapes and natural features with cultural significance?	N
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	N
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	N
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)?	N
5.3	risk of forced evictions? ⁴	N
5.4	impacts on or changes to land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	N
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	N
6.2	activities located on lands and territories claimed by indigenous peoples?	N
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	N

⁴ 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.

Checklist Potential Social and Environmental Risks		
Activities under each outcome and deliverable		Answer Yes (Y) or No (N)
	peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>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</i>	
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?	N
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N
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? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	N
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	N
6.8	risks to the physical and cultural survival of indigenous peoples?	N
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	N
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	N
7.2	working conditions that may deny freedom of association and collective bargaining?	N
7.3	use of child labour?	N
7.4	use of forced labour?	N
7.5	discriminatory working conditions and/or lack of equal opportunity?	N
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	N
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
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?	N
8.2	the generation of waste (both hazardous and non-hazardous)?	N
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	N
8.5	the application of pesticides that may have a negative effect on the environment or human health?	N
8.6	significant consumption of raw materials, energy, and/or water?	N

Note: **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.

1.3.4 Social and Environmental Screening

This Social and Environmental Screening Report reflects the risks per output under each deliverable and recommends the mitigation measures and plans as guidance to the implementation process. Both the potential adverse impacts and enhancements have been reflected in the screening results. The risk categorization which involves the rating of impact and likelihood only pertains to risks, if any.

A. Project Information

Project Information	
1. Project Title	Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD)
2. Project Number (i.e. Atlas project ID, PIMS+)	
3. Location (Global/Region/Country)	Philippines
4. Project stage (Design or Implementation)	Initiation Phase Plan
5. Date	03 November 2021

B. 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

The vulnerability of the Philippines to disasters and its exposure to climate change exacerbates poverty and social inequality in the country. Climate change together with environmental degradation serve as one of the main drivers of economic disruption and developmental decline over the past decades. The frequent occurrence of extreme climatic events and crises undermine the resilience of the country which is defined by United Nations Office for Disaster Risk Reduction (UNDRR) as the ability to recover from the impacts of hazards in a shorter period. The interplay between climate change and inequality reinforces the vicious vulnerability-poverty cycle, affecting the marginalized people. Disasters place a toll to development, economic opportunities, and shelter.

The SHIELD Program ensures social equity and equality by (1) providing opportunities to the vulnerable and marginalized through the resilience policy interventions; (2) integration of GEDSI requirements, (3) empowerment of targeted local communities through various capacity building workshops; and (4) promotion of multi-stakeholder and multi-sectoral approach to planning and design. The program aims to build and institutionalize national and local community resilience through inclusive planning and actions.

The GPH and Government of Australia have identified 10 beneficiary provinces and two regions to support for the implementation of SHIELD Program. They have been chosen based on the (1) degree of vulnerability in times of disaster events and overall geographic exposure to disasters; (2) degree and extent of economic cost of damage based on previous disasters; and (3) current gaps in the provision of assistance from national institutions and international donors. Through these criteria, SHIELD is ensured to deliver its long-term impacts to those who most need them, thus fostering equality in the use and distribution of resources and prioritizing the marginalized and most vulnerable communities.

A stakeholder and grievance redress mechanism has been developed for SHIELD to respond to any feedback, complaint, and grievance from various stakeholders, including the marginalized and vulnerable communities. The process has been set to accommodate any concerns from them through different types of platforms, suiting their needs and requirements. The approach and mode can be reviewed during the implementation phase to extend the reach and ensure that responses and improvements are delivered.

Interventions of SHIELD would ensure that developing resilience entails the inclusive participation of all to benefit all people, with utmost consideration of GEDSI principles.

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

Women and children from poor households including the indigenous peoples, elderly, persons with special needs and disabilities, and other marginalized groups suffer the most during disasters. They are dependent on the sustenance provided by natural resources which are destroyed or damaged by extreme weather hazards. One of the current challenges of upscaling the resilience in the country is the fragmented implementation of gender equality, disability, and social inclusion (GEDSI) initiatives.

SHIELD Program has focused on gender sensitive planning, implementation, and integration of the (1) GEDSI action plan, (2) conduct of GEDSI analysis and training, and (3) women engagement. Action items for each key deliverable would ensure that the rights of women to a safe environment, accessibility to social services, and special support in times of disasters, are in place. By advancing gender context in the project design and implementation, SHIELD works to identify and provide gender-responsive and transformative results with women as the key players and change agents.

GEDSI principles are embedded at the core of the program through a combination of targeted interventions and mainstreaming into all aspects of SHIELD's work. The development of a GEDSI strategy for SHIELD, together with earmarked resources, will reflect GEDSI across all components of the Program. The following major considerations in the execution of SHIELD would yield equal participation and access to resources for all individuals regardless of gender, age, disability status, and others:

- All activities should be gender balance and socially inclusive.
- There is equal representation of diverse voices in implementation.
- There is effort to reach out to diverse partner agencies and organizations.
- There are tailored interventions to specific vulnerable groups.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The Philippines has been tagged by the 2020 World Risk Report as the ninth most vulnerable country to disasters globally. Climate-related hazards such as typhoons, floods, tsunamis, and droughts worsen the situation of marginalized groups in the country, translating to an economic loss of USD 13 billion. The country's exposure to extreme weather events places the Philippines as the fourth impacted globally based on the 2021 German Climate Risk Index. Out of the top ten most-at-risk cities, eight nestle in the Philippines. Poor families residing in high-density and high-risk areas find difficulty in terms of recovery.

SHIELD aims to support the national and local governments towards national resilience through effective prevention, preparedness, mitigation, adaptation, response, and recovery action plans and systems. In building resilient communities, the components of SHIELD Program will lay the ground for (1) evidence-based assessment of systemic and multi-dimensional risks; (2) risk-informed investments; and (3) capacity building among multiple stakeholders including the vulnerable and marginalized groups. These key foundations would help the subnational governments in addressing the limited access to reliable data and maximize the available funding mechanisms. SHIELD hopes to support the government in harmonizing the resilience-building efforts among national agencies, and unlock financing opportunities for climate and disaster resilience actions.

Briefly describe in the space below how the project strengthens accountability to stakeholders

Interventions of SHIELD rests on a systems approach, allowing people to be part of the process and leverage on each other's capacities. Therefore, SHIELD entails strong leadership and good coordination backed up by transparency and accountability to stakeholders. Multi-Stakeholder Partnerships (MSPs) at all levels of implementation serve as platforms for various stakeholders from the private, civil society, and academe to be involved and well-represented.

Practicing and promoting transparency in transactions and handling of finances, stakeholder response and grievance redress mechanism, stakeholder consultations and validation workshops. SHIELD would also monitor compliance with national laws and regulations as well as with UNDP's procurement and other guidelines that discourage forms of bribery and corruption. The project would apply UNDP SES to ensure accountability and transparency in both its activities and decision-making processes. Examples of accountability measure reflected in the project design is the accessibility of a stakeholder response and grievance redress mechanism, and reporting of expenditures and program progress.

C. Identifying and Managing Social and Environmental Risks

Based on the results of the initial screening, below are the identified risks per confirmed "yes" in the social and environmental checklist. Majority of the risks related to principle-programming range from Low to Moderate. Moderate to High risks have been added to the project risk register for SHIELD Program.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the "yes" answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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: If there are failed attempts of lead consortium, GPH partners, and supporting NGAs in meeting the roles, obligations, and functions to unlock funding and implement informed and inclusive resilience actions, benefits of the SHIELD program would not be realized, thus affecting the priority sectors (vulnerable and	I = 2 L = 3	Low	<ul style="list-style-type: none"> Realizing the benefits of multi-stakeholder partnerships (MSPs) is grounded on the clarity of roles and vision among stakeholders (Output 1.3). It is crucial that governments identify the priority sectors for value chain analysis (Output 1.8). Continuity depends on the capacity and political will of government to transcend plans and policies beyond administrations, especially during elections (Output 2.1). 	<ul style="list-style-type: none"> Engagement of non-political actors during the start-up. Developing a Stakeholder Engagement Plan and a stakeholder response and grievance mechanism Developing a partnership agreement with key actors and partners and clearly defining the structure and goals of MSPs. Conducting a capacity needs assessment through series of stakeholder consultations.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
marginalized) of the resilience value chain. <i>Triggered:</i> 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?			<ul style="list-style-type: none"> The presence of various stakeholders may result to confusion during planning and resource allocation due to overlapping of existing policies, guidelines, and project development initiatives (Output 2.3). Conflicting ideas, biases and agenda may get in the way of supporting the new DRR. Political attributes of each involved agency may influence the direction of the national frameworks, plans, strategies, and budget (Output 2.4). The lack of clarity on the mandate, role and position of the new department on disaster resilience may result to overlaps with the mandates, plans and strategies of other agencies (Output 2.4). Localized implementation of the national resilience index to push for CC-DRR funding allocation to LGUs, capacity building and strengthening of accountability may not come into full realization due to political conflicts and agenda as the election progresses in 2022 (Output 2.8). 	<ul style="list-style-type: none"> Performing monitoring and evaluation to track the progress of LGUs with respect to the objectives and outcomes of SHIELD. Develop training modules on the application of evidence-based assessment in risk resilience planning, investment, and preparation of budget.
Risk 2: If the program fails to perform inclusive activities and incorporate necessary information reflecting the GEDSI profile and vulnerability condition of the target sites, there will be an underwhelming capacity of receiving local communities	I = 3 L = 2	Moderate	<ul style="list-style-type: none"> Vulnerable groups are often not well accounted for in the proper planning due to lack of real-time disaggregated data reflecting the poverty condition, inequality in terms of accessibility to social services, and specific requirements of the marginalized sector (Output 1.4). 	<ul style="list-style-type: none"> Enhancing the government's data governance framework to reflect inclusive data. Collection of inclusive data which reflect the population and socio-economic condition of the vulnerable/marginalized groups and conduct of data gaps analysis.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p>or SHIELD program-affected persons and vulnerable/marginalized sectors to claim and exercise their rights to development, resilience, and other fruits of the program, including access to financing.</p> <p><i>Triggered:</i> P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?</p> <p>Risk 3: If the program neglects to mainstream inclusion in the activities, the potentially affected stakeholders, including marginalized groups (e.g., women, children, elders, poor, IPs, LGBTQ) will not be able to fully participate in decisions that may affect them, which may lead to unsuccessful program implementation and failed delivery of inclusive resilience.</p> <p><i>Triggered:</i> 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>			<ul style="list-style-type: none"> Local communities that have poor internet connection may encounter difficulty in accessing the local MEL. Baseline data gathering needs to be streamlined as well to project factual scenarios (Output 1.7). Various value chains have been affected by the pandemic, thus, making the marginalized groups such as the MSMEs or small business owners and farmers or local producers more vulnerable to the double whammy effect – aggravated combined impact of COVID-19 and climate change (Output 1.8). Marginalized sectors are often neglected in budgeting resources and building a pipeline of projects for the financing platform. Prioritization is a must (Output 2.5). 	<ul style="list-style-type: none"> Conducting a stakeholder identification, mapping and engagement plan including a list of the priority sectors for planning, consultation and building the project pipeline for the financial platform. Covering the vulnerable and marginalized groups in developing or enhancing the national resilience framework, plans, policies, strategies, and indices, thereby reflecting the realities on the ground and increasing the rights of marginalized groups to a resilient environment and improving the accessibility to social services and DRRM response facilities (Output 2.4). Ensuring representation of vulnerable and marginalized sectors in the MSPs and during planning, workshop, and consultations. Conduct of GEDSI analysis and training. Developing a stakeholder response and grievance mechanism.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p><i>Risk 4:</i> If the nontangible elements of human rights such as civil, political, economic, and social benefits are not considered in the SHIELD activities, there will be a foreseen indirect impact to the living of the bottom sector of the resilience value chain including the marginalized groups and vulnerable households of the target sites.</p> <p><u>Triggered:</u> P.4 Would the project potentially involve or 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?</p>	I = 2 L = 3	Low	<ul style="list-style-type: none"> Enhancing MEL, developing an LGU co-financing model, and creating cross-sectoral learning and good practices are all limited to the physical and financial targets, other elements of human rights such as the nontangible civil, political, economic, and social benefits may not be fully realized, but foreseen to be indirectly impacted (Output 1.7). The farmers or producers, who are often at the bottom of the value chain, and the small businesses require representation in developing the value chain assessment tool. Their presence in the capacity building efforts is also valuable. However, resource constraints may inhibit them from joining (Output 1.8). Due to the complexity of the integration of policy reform support framework with the existing GPH frameworks, not all requirements of the marginalized groups to build resilience maybe covered. In building national frameworks, the ground implementation remains to be a challenge (Output 2.1). Personal or organization agenda and biases of organizations involved in the MSPs may pose risks and deviate from the program’s vision of creating an “inclusive” resilient development (Output 2.2). Harmonization from sub to national level may pose political 	<ul style="list-style-type: none"> Integration of human rights in the national policy frameworks, considering the intricate participation of different agencies. Each element of the framework will be reflective of the needs and real-life scenarios of the marginalized groups (Output 2.1). This will be backed up with ground-truthing through surveys and collection of data from the localities (Output 1.4). Multi-sectoral approach on policy reform to ensure inclusive participation of the vulnerable and marginalized sectors (Output 2.2). Providing special attention in building the capacities of vulnerable sectors from the SHIELD target sites covering mitigation, preparedness, response, and recovery (Output 2.4). Conduct of workshops to define resilience and aligning its definition based on their respective situation or context.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
			<p>risks as conflicting agenda of agencies may surface, which may indirectly affect the enjoyment and realization of human rights at the ground level (Output 2.3).</p> <ul style="list-style-type: none"> Resilience has been associated by Filipinos with the capacity to withstand calamities and disasters, and not the capacity to bounce back forward in shortened recovery period. This misnomer definition of resilience must be avoided in establishing the national frameworks, plans, policies, and strategies (Output 2.4). 	
<p>Risk 5: If there is inequitable representation and potential exclusion of affected communities in the development of national resilience frameworks, policies, indices, and implementation, the output of the program will not be able to reflect the on-the-ground scenario which may lead to discriminatory impacts on affected populations, and impede the national and local governments' response and support to the needs of the marginalized sectors and vulnerable communities including the persons with</p>	<p>I = 2 L = 3</p>	<p>Low</p>	<ul style="list-style-type: none"> There is a risk of failing to build inclusion in defining and translating resilience as MSPs and Resilience Brokers facilitate cross-jurisdictional approaches to resilience (Output 1.2). LGUs with faster learning curves and support for the deployment of resources maybe favored over the LGUs with slower progress in terms of capacity development, thus developing biases during project implementation (Output 1.3). Requirements of marginalized sectors and data reflecting the diversity of local communities such as the ethnicity, religion, age group, gender identity, language, disability, and geographical origin are often not captured and detailed in developing DRRM Plans (Output 1.9). 	<ul style="list-style-type: none"> Collection of inclusive data disaggregated data and robust baselining that would showcase diversity such as race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political orientation, social status or geographical origin, and property (Output 1.7). Representation from vulnerable and marginalized sectors in the MSPs and during planning, workshop, and consultations. Review of products and deliverables (e.g. national framework, resilience index) based on the lens of vulnerable communities. Developing a stakeholder response and grievance mechanism. Capacity building of stakeholders in the value chain, especially the vulnerable and marginalized sectors at the sub-national level such as the farmers, local distributors,

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
disabilities in times of crises, disasters, and recovery. <u>Triggered:</u> P.5 Would the project potentially involve or lead to inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities?			<ul style="list-style-type: none"> • Due to the broadness of scope, the resilience frameworks, plans and other outputs may not directly support the emerging needs of the local vulnerable communities (Output 2.4). Local communities may not directly be benefited by the pipeline of projects and the financial platform may not be accessible to them due to poverty, technological, and knowledge constraints (Output 2.5). 	and small business owners, allowing equitable opportunities in enhancing local production and businesses (Output 1.8). <ul style="list-style-type: none"> • Revisiting of Public Service Continuity Plans (PSCPs) and DRRM Plans at the sub-national levels (Output 1.9).
Risk 6: If there are resources constraints such as technological, financial, and technical capabilities, the marginalized sectors may not be able to access the program benefits, imposing restrictions towards a more developed and resilient community. <u>Triggered:</u> P.6 Would the project potentially involve or lead to restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	I = 2 L = 2	Low	<ul style="list-style-type: none"> • The lack of access to technology and knowledge management may prevent local participation of vulnerable and marginalized groups at the subnational level (Output 1.3). • Integration of broad national frameworks may hit or miss the ground-level scenario of local community resilience (Output 1.5). • Sectoral biases may inhibit the flow of ideas and support to GPH agencies on resilience-related reforms, thus making the outcome less accessible to those who most need it (Output 2.2). • Resource and technological constraints among targeted remote local communities may refrain them from realizing the full potential of the financing platform (Output 2.5). • Current activities of the private, organizations, and public agencies in supporting the BARMM may produce overlaps and restricted granularity to 	<ul style="list-style-type: none"> • Inter-LGU and MSP capacity building, learning exchanges and active reflection sessions to unlock the current situation of the local communities including their access to resources, such as financing and technology, and other basic services (Output 1.2). • Integrating data and information on the availability and accessibility of social services and facilities to support LGUs in their planning, resource allocation and prioritization (Output 1.4). • Assessment of bottlenecks in implementing local MEL procedures to address the availability and scarcity of resources (Output 1.7). • Engaging the private sector in strengthen the food production systems and value chains to empower small businesses, allowing resources to flow along the resilience value chains (Output 1.8).

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
			SHIELD's Program implementation (Output 2.6).	<ul style="list-style-type: none"> • Translation of and alignment between the national Policy Reform Support Framework and sub-national level interventions (Output 2.1).
<p><i>Risk 7:</i> If activities, consultations, and interventions are initiated in culturally sensitive regions such as BARMM, they may create complex relationships and conflict with the cultural and societal norms of the target site communities which may aggravate existing inequality.</p> <p><u>Triggered:</u> P.9 Would the project potentially involve or lead to adverse impacts on gender equality and/or the situation of women and girls?</p>	I = 3 L = 3	Moderate	<ul style="list-style-type: none"> • The difference in cultural background and political views may serve as barrier or pose constraints in implementing the initiatives at the BARMM region. Geopolitical and socio-cultural profile of BARMM poses inequality in terms of gender and accessibility to resources (Output 2.6). • Cultural barriers may be encountered in implementing GEDSI-related resilience activities in the BARMM region (Output 2.6). • Geographical and regional nuances may cause misunderstanding during planning, consultation, decision-making and implementation of SHIELD across the target sites. 	<ul style="list-style-type: none"> • Conduct of GEDSI analysis and training. • Conduct of baseline research on cultural and GEDSI-related aspects and communities of the SHIELD target sites. • Surveys on knowledge and perceptions. • Developing a stakeholder grievance and feedback mechanism.
<p><i>Risk 8:</i> If the program fails to mainstream GEDSI requirements, women and marginalized groups will have limited access and opportunities to participate in the program, thus potentially leading to discrimination and failure of the affected communities, including the vulnerable sectors, to exercise and practice resilience.</p>	I = 3 L = 2	Moderate	<ul style="list-style-type: none"> • Lack of gender-based data poses a challenge in establishing a robust local data ecosystem both at the national and sub-national levels (Output 1.4). Local MEL may not capture the GEDSI targets if the local data ecosystem lacks the resources to establish a reliable baseline of women's access to social services, and response facilities (Output 1.7). • GEDSI-based factors are often neglected in national frameworks (Output 1.5). SHIELD 	<ul style="list-style-type: none"> • Conduct of GEDSI analysis and training both in the national and subnational levels. • Collection of gender-based data and robust baselining for MEL • Highlighting and empowering women in their role in the resilient value chain (Output 1.8). Local MSPs will be composed of various sectors including GEDSI and community representatives who will then be supported by the SHIELD consortium (Output 1.2)

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p><u>Triggered:</u> P.10 Would the project potentially involve or lead to reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</p> <p><i>Risk 9:</i> If GEDSI is not strengthened as part of the program’s core delivery and the national and local frameworks are not harmonized, there will be limited opportunities on women’s ability to use, develop and protect natural resources, with respect to different roles and positions of women and men in accessing social goods and services and resilience building.</p> <p><u>Triggered:</u> P.11 Would the project potentially involve or lead to 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?</p>			<p>may encounter difficulty in integrating GEDSI-related parameters with the GPH-initiated plans, policies, and frameworks as providing a GEDSI lens in methodology, planning and rationalization is not yet mainstreamed in the country (Output 2.3).</p> <ul style="list-style-type: none"> • Cultural barriers may be encountered in implementing GEDSI-related resilience activities in the BARMM region (Output 2.6). • Training of women in context specific DRRM and peace building strategies is one of the potential areas of support to the BARMM Government. However, the existing armed conflict, political turmoil and social unrest in the target areas including Marawi and island provinces of Basilan, Sulu and Tawi-Tawi may delay the capacity building program (Output 2.6). 	<ul style="list-style-type: none"> • Promoting diversity in representation through the MSPs for Resilient Development Policy Advocacy (Output 2.2) • Integrating interventions for women, children, seniors, and other vulnerable groups in the Public Service Continuity Plans. • Investments geared towards addressing the requirements of women and marginalized sectors in the context of climate and disaster risk resilience (Output 2.5).
<p><i>Risk 10:</i> If there are miscommunication brought about by the volume of involved partners and stakeholders, delays in delivery, and other grievances and concerns such as data sharing during</p>	<p>I = 2 L = 3</p>	<p>Low</p>	<ul style="list-style-type: none"> • Risks associated with data sharing and privacy may trigger grievances or objections from affected stakeholders (Output 1.4). • Grievances, feedback, and complaints from beneficiary communities or target sites and 	<ul style="list-style-type: none"> • Developing a communication channel or platform and a plan. • Developing a stakeholder response and grievance mechanism.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p>implementation, the SHIELD team may be overwhelmed of the situation and of the number of feedbacks that need to be addressed, thus causing delays in responding to the affected SHIELD target sites.</p> <p><u>Triggered:</u> P.14 Would the project potentially involve or lead to grievances or objections from potentially affected stakeholders?</p>			<p>potential issues raised by various key partners during the implementation phase.</p> <ul style="list-style-type: none"> Misunderstanding and communication failure brought about by the volume of involved agencies, organizations, and partners. 	<ul style="list-style-type: none"> Monitoring and evaluation of the influx of grievances, feedback, complaints, and concerns. Documentation of all responses including the grievance mechanism implementation progress. Discussion and regular reporting of the lessons learned from each grievance encounter. Establishing a multi-sectoral approach to evaluation, investigation, and response. Ensuring the quality and timeliness of response and evaluation.
<p>Risk 11: If the SHIELD target areas encounter any natural hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunamis, or volcanic eruptions during the implementation phase, there will be delays, extensions, and diversion of program funds to address the immediate needs of the communities.</p> <p><u>Triggered:</u> S.2.1 Would the project potentially involve or lead to areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?</p>	<p>I = 3 L = 4</p>	<p>Moderate</p>	<ul style="list-style-type: none"> SHIELD target sites located in low-lying areas and hazard-prone areas may experience simultaneous disasters. Due to the climate change crisis, stronger and more frequent weather events may disrupt on-the-ground operations of SHIELD and exacerbate the vulnerability and poverty condition of the households in the SHIELD target sites. Double whammy effect may also be experienced as the challenges on pandemic add up to other hazards and risks. Resources may not be sufficient to address the compounding impacts of climate change in particular places. 	<ul style="list-style-type: none"> Support the LGUs' surge capacity Develop a program continuity plan in case of any unforeseen events Leverage on MSPs, program resources, and network Pilot of framework and plans in the sub-national level

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p><i>Risk 12:</i> If the outputs of the program including the adaptation and mitigation measures fail to address the address the community’s concerns on climate change and the outcomes are not fully realized, the vulnerability and exposure of the communities to the hazards may escalate overtime, potentially aggravating their existing poor condition.</p> <p><u>Triggered:</u> S.2.2 Would the project potentially involve or lead to outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?</p> <p><i>Risk 13:</i> If the program does not deliver its promises, both the national and subnational levels would continue to struggle in implementing a holistic approach to resilience, therefore allowing the negative practices of households and governments to be passed on from one generation to another and repeating the vicious cycle of poverty and vulnerability.</p>				

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p><u>Triggered:</u> S.2.3 Would the project potentially involve or lead to increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?</p>				
QUESTION 4: What is the overall project risk categorization?				
		Low Risk	<input type="checkbox"/>	
		Moderate Risk	<input checked="" type="checkbox"/>	Majority of the risks are associated with the (1) unsuccessful inclusion and participation of the vulnerable and marginalized groups in the program activities; (2) interventions that may aggravate existing inequality in a target region or community; (3) lack of robust gender-based and inclusive baseline and data monitoring system; (4) failed integration of GEDSI requirements into the program; and (5) occurrence of natural hazards, crises, and other climate-related impacts that may affect the SHIELD target communities and actors.
		Substantial Risk	<input type="checkbox"/>	
		High Risk	<input type="checkbox"/>	
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				

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High	
<i>Risk Description (broken down by event, cause, impact)</i>	<i>Impact and Likelihood (1-5)</i>	<i>Significance (Low, Moderate, Substantial, High)</i>	<i>Comments (optional)</i>		<i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i>
	<u>Is assessment required? (check if “yes”)</u>		<input type="checkbox"/>		<p><i>Note: The type of assessment will only be determined as specific activities are identified by the stakeholders during the implementation stage.</i></p> <p>Status? (completed, planned)</p>
	<i>if yes, indicate overall type and status</i>		<input type="checkbox"/>	Targeted assessment(s)	Not required
			<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	Not required
			<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	Not required
	<u>Are management plans required? (check if “yes”)</u>		<input type="checkbox"/>	Recommended plans are specific to the risks identified in this matrix	
	<i>if yes, indicate overall type</i>		<input checked="" type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Stakeholder Engagement Plan, Stakeholder Response and Grievance Mechanism, among others)	Planned
			<input checked="" type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans) – determined during the implementation phase as downstream activities such	Planned

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High		
<i>Risk Description (broken down by event, cause, impact)</i>	<i>Impact and Likelihood (1-5)</i>	<i>Significance (Low, Moderate Substantial, High)</i>	<i>Comments (optional)</i>	<i>Description of assessment and management measures for risks rated as Moderate, Substantial or High</i>		
					as construction of resilience facilities are proposed.	
				<input checked="" type="checkbox"/>	ESMF (Environmental and Social Management Framework) – covers the proposed activities under the three SHIELD components	Planned
Based on identified risks, which Principles/Project-level Standards triggered?				Comments (not required)		
Overarching Principles						
P.1 Leave No One Behind				<input checked="" type="checkbox"/>	The SHIELD program will encapsulate inclusion, equality, and accessibility of data in its design and implementation, as explained in Part A. Programming Principles.	
P.2 Human Rights				<input checked="" type="checkbox"/>	Capacity of the government will be enhanced to delivery of social and basic services and resources, thus contributing to resilience development and prosperity, especially to the vulnerable and marginalized groups.	
P.3 Gender Equality and Women’s Empowerment				<input checked="" type="checkbox"/>	GEDSI requirements are part of the program design, planning, consultations, program implementation, and monitoring.	
P.4 Accountability				<input checked="" type="checkbox"/>	The program highlights data inclusion, equality through data accessibility, and anticipates potential grievances and complaints from stakeholder engagement activities, especially in the development of the data ecosystem platform and financial instrumentations.	

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
	Project-Level Standards			
	1. Biodiversity Conservation and Sustainable Natural Resource Management			<input type="checkbox"/> The project has no impact on biodiversity nor result in resource competition.
	2. Climate Change and Disaster Risks			<input checked="" type="checkbox"/> The project is designed to build community resilience against the impacts of climate change and improve the government’s preparedness and response to disasters.
	3. Community Health, Safety and Security			<input type="checkbox"/> The project has no impact on community health, safety and security of the SHIELD target community sites.
	4. Cultural Heritage			<input type="checkbox"/> The project has no impact on cultural heritage.
	5. Displacement and Resettlement			<input type="checkbox"/> The project will not result to issues on displacement and resettlement.
	6. Indigenous Peoples			<input type="checkbox"/> The project has no impact on indigenous peoples.
	7. Labour and Working Conditions			<input type="checkbox"/> The project will not result in poor labor and working conditions.
	8. Pollution Prevention and Resource Efficiency			<input type="checkbox"/> The project will not result in increase in pollution and resource competition.

02

Environmental and Social Management Framework

2.1 Environmental and Social Management Framework

The Environmental and Social Management Framework (ESMF) sets the foundation in screening and assessing activities and outputs under SHIELD for potential risks and impacts of the downstream implementation of the policies, plans, and programmes even if they remain unidentified yet until the later stages of the project cycle. This tool is embedded on the UNDP SES overarching principles and project-level standards as well as the national laws and guidelines reflecting the social and environmental context, risks, and impacts.

The ESMF has been developed for the following key objectives:

- Provide the tool and basis for integrating social and environmental context into the SHIELD Program
- Assess the potential impacts and risks of the activities on the environment and communities being served by the program, allowing the formulation of management controls and plans to mitigate any adverse impacts
- Provide the assessment and management measures to address activities and projects posing Moderate to High Risks.

2.1.1 Legal and Institutional Framework

The ESMF is grounded on the four components of the legal and institutional framework: (1) national laws, policies, and regulations; (2) UNDP guidelines including the SES Procedure; (3) international treaties where the Philippines is signatory; and (4) funding and screening guidelines of financial partners, if any (**Figure 2**). These four corners serve as the basis of compliance, alignment, screening and monitoring of the activities during the implementation phase of SHIELD.

Activities under the three components of SHIELD will be screened based on the relevant legislation and organizational procedures to surface the potential risks on environment and societies and develop a management plan to mitigate them. The framework reflects the social and environmental context of the program and supports the reinforcement of sustainability and resilience from the national to local scale.

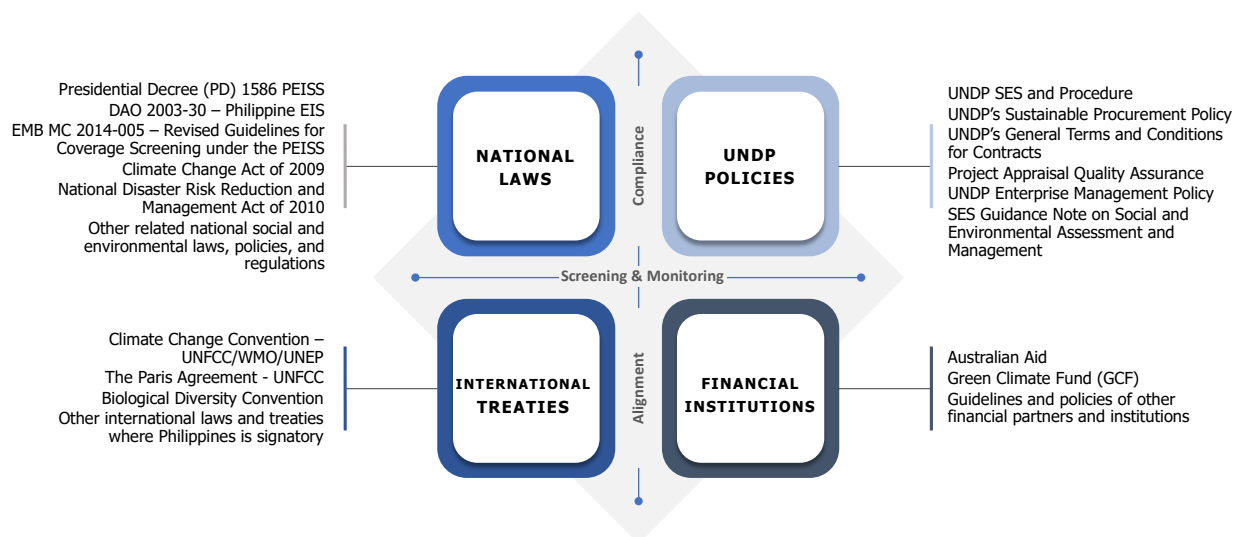


Figure 2. Legal and Institutional Framework

Compliance with the national and international requirements ensure that the projects are socially and environmentally sound and aligns with the sustainability and resilience objectives of the SHIELD Program.

A. National Laws, Policies, and Regulations

The national social and environmental legislation encompasses the republic acts, department orders, memorandum circulars and other issuances of respective national government agencies.

Proposed assessment and management plans will be aligned with the Philippine Environmental Impact Statement System (PEISS), particularly the following Department of Environment and Natural Resources (DENR) administrative orders and memorandum circulars:

- Presidential Decree (PD) 1586 PEISS, issued in 1978
- DENR Administrative Order 2003-30 (DAO 2003-30) – Implementing Rules and Regulations of Presidential Decree 1586 (Establishing Environmental Impact Statement System)
- EMB Memorandum Circular 2014-005 (EMB-MC 2014-005) – Revised Guidelines for Coverage Screening and Standardized Requirements under the PEISS

B. UNDP Guidelines and Principles

Proposed activities for each component must adhere with the following applicable UNDP guidelines and principles:

- **UNDP SES and Procedure**– considers the sustainable development goals (SDGs) under the programming principles, project-level Standards 1 to 8, and components of the Social and Environmental Management System (**Table 7**).

Table 7. UNDP SES Programming Principles and Project-Level Standards

Programming Principles	Description*
(1) Leave no one behind	Overarching programming principle that recognizes and prioritizes the situation of the marginalized, discriminated and excluded, empowering them as active agents of the development process.
(2) Human rights	Recognizing the centrality of human rights to sustainable development, poverty alleviation, sustaining peace and ensuring fair distribution of development opportunities and benefits.
(3) Gender equality and women's empowerment	Promotion of gender equality and the empowerment of women by advocating for women's and girls' human rights, combating discriminatory practices, and challenging the roles and stereotypes that create inequalities and exclusion.
(4) Sustainability and resilience	Strengthening the resilience of societies to the impact of shocks, disasters, conflict and emergency situations, and the sustainable management, conservation, and rehabilitation of natural habitats (and their associated biodiversity and ecosystem functions).
(5) Accountability	Compliance with national and international laws and obligations, and promotion of accountability to programme and project stakeholders by (i) enabling active local community engagement and participation; (ii) ensuring transparency of programming interventions; (iii) ensuring stakeholders have access to rights-compatible complaints redress processes and mechanisms; and (iv) ensuring effective monitoring.
Project-Level Standard	Description
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Conserving biodiversity, maintaining ecosystem services, and sustainably managing natural resources.
Standard 2: Climate Change and Disaster Risks	Integration of disaster and climate risk concerns into national and sectoral development plans; advancing low-emission and risk-informed development pathways; identification of priority disaster risk reduction, risk governance, climate mitigation and adaptation measures; and implementation of measures to reduce exposure and vulnerabilities.
Standard 3: Community Health, Safety and Security	Minimizing risks and impacts to community health, safety and security that may arise from project-related activities, with particular attention given to disadvantaged and marginalized groups.
Standard 4: Cultural Heritage	Preservation, protection, and promotion of Cultural Heritage in a manner consistent with UNESCO Cultural Heritage conventions or any other national or international legal instruments.

Standard 5: Displacement and Resettlement	Physical and economic displacement, including through land acquisition or restrictions on land use or access to resources.
Standard 6: Indigenous Peoples	Promotion and protection of the rights of indigenous peoples, especially concerning their lands, territories, resources, traditional livelihoods, tangible and intangible Cultural Heritage.
Standard 7: Labour and Working Conditions	Protection of workers' fundamental rights, fair treatment, and the provision of safe and healthy working conditions.
Standard 8: Pollution Prevention and Resource Efficiency	Minimizing adverse impacts on human health, sustainable use of resources, emission reduction, minimizing generation of hazardous and non-hazardous substances and wastes, and promotion of safe, effective, environmentally sound pest management.

*UNDP SES Policy

- **UNDP's Sustainable Procurement Policy** – seeks to environmental, social, and economic considerations in the procurement process whenever possible.
- **UNDP's General Terms and Conditions for Contracts** – stipulates the project's compliance with the UNDP SES as a requirement or condition.
- **Project Appraisal Quality Assurance** – projects are screened at each stage of the project spanning the seven quality criteria: (1) strategic, (2) relevant, (3) principled, (4) management and monitoring, (5) efficient, (6) effective, and (7) sustainability and national ownership.
- **UNDP Enterprise Management Policy** – determined Moderate, Substantial and High-Risk activities are reflected in the project risk registry, ensuring alignment with the SES.
- **SES Guidance Note on Social and Environmental Assessment and Management** - guides the conduct of further complete social and environment assessment after the initial screening and provides recommendations on the needed management and mitigation plans to address the significant risks and potential impacts.

C. International Treaties

Philippines is a signatory to various environmental and social international commitment and treaties. SHIELD aims to align with the objectives and targets of the country in pursuing these treaties:

- Climate Change Convention – UNFCCC/WMO/UNEP
- The Paris Agreement - UNFCCC
- Biological Diversity Convention
- Other current international laws and treaties

D. Funding and Institutional Partners' Guidelines

If SHIELD partners with additional funding institutions, the activities of SHIELD including its financial platform would adhere to the environmental and social guidelines of the financing partners, if any.

2.1.2 Procedures for screening, assessment, and management

Identified projects, programs and activities are further evaluated for conformance to the UNDP principles and social and environmental regulations during the ideation phase and across the project implementation, monitoring and closure phases. SHIELD proposes the ESMF which exhibits the screening, assessment, and management and mitigation process which aims to capture the environmental and social considerations into the project planning and design, as illustrated in **Figure 3**.

Note that the screening, assessment, and management might occur at different stages of the project. Stakeholder engagement and consultations cut across the three phases.

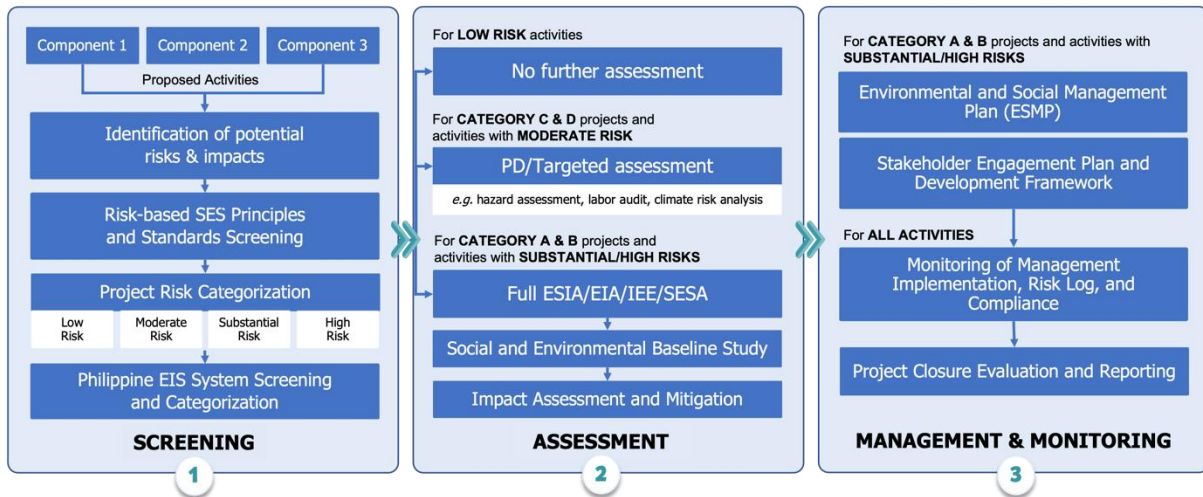


Figure 3. Three Phases of the Environmental and Social Management Framework (ESMF)

A. Screening

Proposed activities under Components 1 to 3 are screened using the SES Procedure to identify any foreseen risks and impacts on the environment and communities. Risk-based approach surfaces the alignment of the proposed activities with the UNDP programming principles and eight project-level standards. Proposals are then categorized as Low, Moderate, Substantial and High Risks. Identified moderate to high risk-projects form the SHIELD program risk register for monitoring purposes.

Initial screening based on the Philippine EIS System (PEISS) project categorization are performed if applicable, with Category A projects having the most significant adverse and irreversible impact and Category D with almost nil or no adverse effects.

The UNDP risk-based categorization and PEISS project classification are provided in the consecutive tables below for guidance.

Table 8. UNDP risk-based categorization

Overall Rating Scale	Overall Risk Significant Level
Low	Do not Further analysis or treatment not required
Moderate	Require risk analysis scaled to the scope and nature of the risks with risk treatment and monitoring measures in place and budgeted.
Substantial	Require risk analysis scaled to the scope and nature of the risks with risk treatment and monitoring measures in place and budgeted. Require more detailed risk analysis and risk management plans.
High	Require escalation and thorough risk analysis with extra control mechanisms and frequent monitoring.

For the national classification of activities for assessment, the categories are distinguished based on the type of project, location, scale, and magnitude of social and environmental impacts.

Table 9. PEISS project classification

Project Category	Description
Category A	Projects or undertakings are classified as Environmentally Critical Projects (ECP) under Presidential Proclamation No. 2146 (1981), Proclamation No. 803 (1996) and any other projects that may be later be declared as such by the President of the Philippines; resource extractive having adverse impacts to the environment; Environmental Impact Assessment (EIA) is required.
Category B	Projects or undertakings not classified as ECP under Category A, but may deemed to significantly affect the quality of the environment by virtue of being

Project Category	Description
	located in Environmentally Critical Area (ECA) (e.g. near a protected area, forest) as declared under Proclamation 2146 and according to the parameters set forth in EMB-MC 2014-005; either EIA or Initial Environmental Examination (IEE) is required depending on the type, scale, and magnitude of the proposed project.
Category C	Projects or undertakings not falling under Category A and B which are intended to directly enhance the environment or directly address existing environmental problems; majority are renewable and enhancement projects requiring an IEE or Certificate of Non-Coverage (CNC) depending on the scale and magnitude of the impacts.
Category D	Projects or undertakings that are deemed unlikely to cause significant adverse impact on the quality of the environment according to the parameters set forth in the Screening Guidelines; projects exempted from securing an ECC; requires a Project Description (PD) for CNC application.

Source: DAO 2003-30 and EMB-MC 2014-005

At this stage, the project management team formalizes the participation of the key stakeholders through the development of an engagement plan and conduct of early consultations through validation workshops. The screening phase ensures that risks including the adverse impacts are recognized and communicated to the stakeholders to aid in the planning and design stage of the component activities, thus maximizing the potential and benefits.

Exemptions to the Screening Process

Activities or projects that may be deemed exempted from the screening process as stipulated in the UNDP SES Policy include the following:

- a. where UNDP serves as Administrative Agent
- b. preparation and dissemination of reports, documents, and communication materials
- c. organization of an event, workshop, training
- d. strengthening capacities of partners to participate in international negotiations and conferences
- e. partnership coordination (including UN coordination) and management of networks
- f. global/regional projects with no country level activities (e.g. knowledge management, intergovernmental processes).

Source: SESP

B. Assessment

Low risk activities which include upstream activities of capacity building, planning and policy support to SHIELD no longer need further assessment. As for activities categorized as Category C and D under the national classification for EIS and have moderate risks may require a targeted form of assessment depending on the type of risk involved. These may range from hazard assessment and labor audit for labor-intensive activities; safety and hazard plan for travels to target sites; and climate risk analysis for mitigation and adaptation proposals. Downstream activities under Categories C and D may require a small-scale assessment such as IEE or an overview of the project description. Specialists may refer to the PEISS regulations for the initial categorization and confirmation with the EMB-DENR after. Samples of Category C projects in the Philippine context include environmental enhancement proposals such as small-scale renewable power generation, while Category D projects cover mild-risk construction of buildings in a built-up area. There might also cases when an activity/project is exempted from the EIS requirements, thus only a Certificate of Non-Coverage (CNC) is completed.

Category A and B projects have the potential to adversely affect the environment and communities under the Philippine screening guidelines, with the latter causing less impacts by virtue of its proximity to a protected area (see Table x). The conduct of a comprehensive assessment in the form of EIA is required for SHIELD activities or initiatives classified as Category A projects. For Category B projects, a toned-down assessment through an IEE Checklist may be required depending on the type, scale, and extent of impact. Under the SES Policy, these activities may possibly exhibit substantial to high environmental and social risks.

The ESIA is the international version of EIA which may be required by funding institutions if SHIELD partners with them for the financial platform within the implementation phase. The ESIA based on the IFC standards has a more stringent approach and extensive assessment of the environmental and social environment. Both the national EIA

and ESIA entail an environmental and social baseline study, including impact assessment, recommendations for mitigation measures, and stakeholder consultations.

Table summarizes the possible types of assessment needed for each category based on the UNDP SES Policy and national EIA requirements.

C. Management and Monitoring

Risks categorized as moderate, substantial, and high significance require continuous monitoring during the implementation phase to ensure proper management and mitigation. An Environmental and Social Management Plan (ESMP) is prepared to cover all downstream activities and projects with substantial and high risks based on the UNDP SES Procedure and classified as Category A and B by the PEISS. As for Category C and D projects having moderate risks, management controls and monitoring are conducted using the project risk register log.

To ensure the inclusive participation of key stakeholders, a stakeholder engagement plan is drafted together with a stakeholder map and a development framework. A multi-sectoral approach with the involvement of the vulnerable and marginalized groups would be ensured in the development of a Stakeholder Engagement Plan and Social Development Framework, including the incorporation of GEDSI requirements.

The cycle of monitoring is critical to ensure alignment with the SHIELD Program requirements and UNDP SES Policy, implementation of management controls and mitigation measures, and compliance with the national regulations on environmental and social safeguards. A social and environmental monitoring plan would be prepared and made accessible to the SHIELD partners, which covers the risks and mitigation measures for moderate to high risks; monitoring parameters and standards for compliance; success indicators; monitoring costs; and lead persons and orgs. The progress of the project in terms of addressing risks including any additional risks that would surface during the implementation phase would be integrated in the progress reporting of SHIELD and included in the mid-term and final project evaluation reports.

Risks that may have adverse effect on the environment and SHIELD target and affected communities, as well as the proposed mitigation measures and management controls shall be communicated through a key stakeholders' consultation or included in the planning workshop agenda with the partners. As stipulated in the UNDP Enterprise Risk Management (ERM) Policy and Procedures, UNDP reserves the right for partial disclosure of risks to the public to avoid any breach of confidentiality and agreement with partners, unnecessary panic, and loss of confidence from stakeholders.

Monitoring would be done all throughout the program life, with the results consolidated on an annual basis and captured in the lessons learned of the yearend evaluation and project closure (**Table 10**).

Table 10. SHIELD social and environmental risk monitoring, compliance and reporting

Monitoring	Reporting	Frequency	Reference	Lead
Monitoring of moderate to high risks in the Project Risk Register Log	Social and Environmental Monitoring Plan and Reporting matrix	Quarterly	Risk Enterprise Management SES Programming Principles & Project-Level Standards	SHIELD Program Management Team
Monitoring of Environmental & Social Management Plan (ESMP), for Category A and B projects (with substantial to high risks)	Environmental & Social Management and Monitoring Report	Quarterly	Baseline ESIA/EIA/SESA Environmental and Social Guidelines and Standards	SHIELD Program Assurance SHIELD Program Management Team
Stakeholder Grievance	To be captured in the monitoring matrix and report	As necessary	SHIELD Stakeholder and Response Mechanism based on UNDP Grievance Redress Mechanism	SHIELD Program Management Team

Table 11 summarizes the risk and impacts and the corresponding recommendations on (1) form, extent, and scope of the social and environmental review; (2) types of assessments; (3) required management, mitigation, and monitoring plans; and (4) reporting mechanism.

Table 11. SHIELD social and environmental impacts, assessment, monitoring, and reporting requirements across risk levels

	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	-	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	-	Incorporate management measures into ProDoc	Targeted management 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
Monitoring	-	Project risk register log	Project risk register log	Social and Environmental Monitoring Plan tracks the implementation of ESMP based on ECC conditions	Social and Environmental Monitoring Plan tracks the implementation of ESMP based on ECC conditions
Reporting	-	Quarterly monitoring plan matrix	Quarterly monitoring plan matrix	Quarterly monitoring plan matrix Management and monitoring report annexed to Project SHIELD annual report	Quarterly monitoring plan matrix Management and monitoring report annexed to Project SHIELD annual report

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

2.2 Stakeholder Engagement and Response Mechanisms

Developing a stakeholder engagement and response mechanism ensures that all relevant and significant feedback, complaints, and grievance on the impacts of SHIELD policies, programs, and operations on external stakeholders. This grievance redress and accountability mechanism (GRM) intends to promote an accessible, collaborative, and effective platform in resolving concerns through dialogue and negotiation.

The proposed GRM has been developed based on the requirements specified in the UNDP Supplemental Guidance on Grievance Redress Mechanism and Accountability.

Figure 4 below presents the proposed Stakeholder Response and Grievance Mechanism (SRGM).

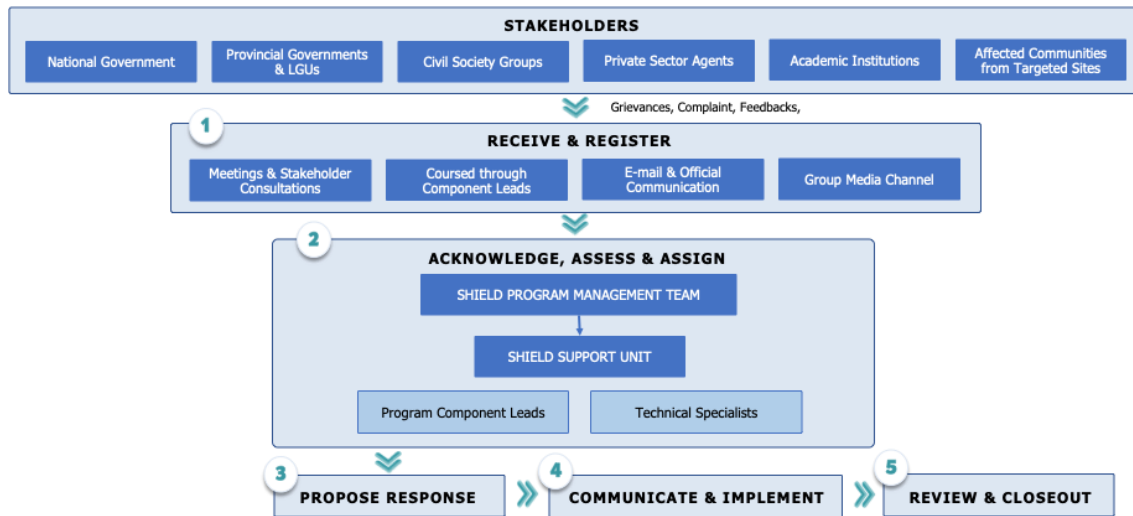


Figure 4. SHIELD Stakeholder Response and Grievance Mechanism

2.2.1 Key Stakeholders

Beneficiary cities, municipalities, and communities in the 12 SHIELD sites composed of the 10 provinces and two main regions serve as the main stakeholders of SHIELD (Table 12). The SRGM shall provide special attention to the feedback and concerns of the vulnerable and marginalized groups from these target areas.

Table 12. SHIELD Program Target Sites

Island Group	Provinces
Luzon	(1) Albay (2) Pampanga (3) Pangasinan (4) Quezon
Visayas	(5) Cebu (6) Eastern Samar (7) Northern Samar
Mindanao	(8) Agusan del Norte (9) Agusan del Sur (10) Davao Oriental
Special Regions	
Special Regions	(1) Metro Manila (2) Bangsamoro Autonomous Region in Muslim Mindanao (BARMM)

Other actors and key players in the resilience value chain, but which are not part of the internal partners of SHIELD Program, include the national and local government agencies and units, academic institutions through state universities and colleges, civil society, private sector, affected multi-sectoral groups, vulnerable and marginalized groups.

2.2.2 Feedback, Grievance and Response Mechanism

The feedback and response mechanism involves the participation of MSPs and partners. The process provides light to the implementation of SHIELD program components and

- a. **Receive and Register** – Feedback, comments, suggestions, and complaints from stakeholders other than the concerns raised during the consultations, workshops, and meetings may be registered in an online form and coursed through the following communication platforms:
 - UNDP’s G-HUBS and the NRC’s Local Resilience Councils
 - Communication tools such as phone call, text messages, and official messages via email
 - Communication to MSPs and Component Leads

- Group social media and communications channel such as Facebook group, Messenger, Whatsapp, Telegram and others SHIELD Management Team.
- b. Acknowledge, Assess and Assign** – Registered feedback, grievances, and complaints are opened and consolidated by the SHIELD Program Management Team. Each feedback would be assessed if a response or resolution needs to be provided, including the level of prioritization and turnaround time for the response. With the help of the SHIELD Support Unit, feedbacks would be delegated to the responsible parties – (1) program component leads for discussion with their respective teams, and (2) technical specialists. The GEDSI specialist would ensure inclusivity through the participation of women including the vulnerable and marginalized sectors in the deliberation and response.
- c. Propose response** - After the consultation and discussion, agreed responses are reviewed by the SHIELD Program Management Team and SHIELD Consortium consisting of panel experts for validity check, conformance to the UNDP SES Grievance Redress Mechanisms, and alignment with the SHIELD Program targets and requirements.

The Monitoring and Evaluation (M&E) Specialist qualifies the response or action for each feedback as:

- Approved for implementation and adoption
- Good to be communicated back to the stakeholders
- Requires further assessment and consultation
- Invalid, ineligible, or only needs clarification

Further assessment and investigation may be deemed necessary if the issue is not resolved by the team, if the concern requires additional information, and if other stakeholders need to be involved for its resolution. Investigation would be carried out by the SHIELD Support Unit.

- d. Communicate and implement** – The SHIELD Program Management Team issues an official response to the feedback, grievance, or complaint within one week's time unless further assessment or consultation is needed.
- e. Review and closeout** – Once the stakeholders are satisfied with no further queries, the item is closed out in the GRM registry and archived for future reference. Answered feedback, actions taken, and changes implemented in response to the grievance including the lessons learned are documented and included in the yearend reporting.



03

Social and Environmental Appraisal, Categorization, and Screening of Bankable Proposals

3.0 Social and Environmental Appraisal, Categorization, and Screening of Bankable Proposals

As a result of the resilience planning and ideation at the sub-national level (Output 1.5), identified specific programs, projects, and activities (PPAs) would form part of the bankable proposals (Output 1.6) for funding. The SHIELD consortium will lead the environmental and social screening of these LGU-led and local MSP-initiated projects to ensure alignment with the UNDP Programming Principles and Standard-Level Standards, and compliance with the national laws, regulations, and policies.

Key objectives of the proposal screening are as follows:

- Proposed project’s alignment with the resilience outcomes and objectives of SHIELD Program.
- Proposed project’s conformance with the UNDP programming principles and social and environmental standards.
- Categorization, screening, identification of the potential social and environmental risks and impacts of the bankable proposals, and recommendations for the next steps including the apt mitigation and management measures and plans.

For screening bankable proposals for the financial pipeline, the following framework provides an overview of the mechanism (Figure 5).

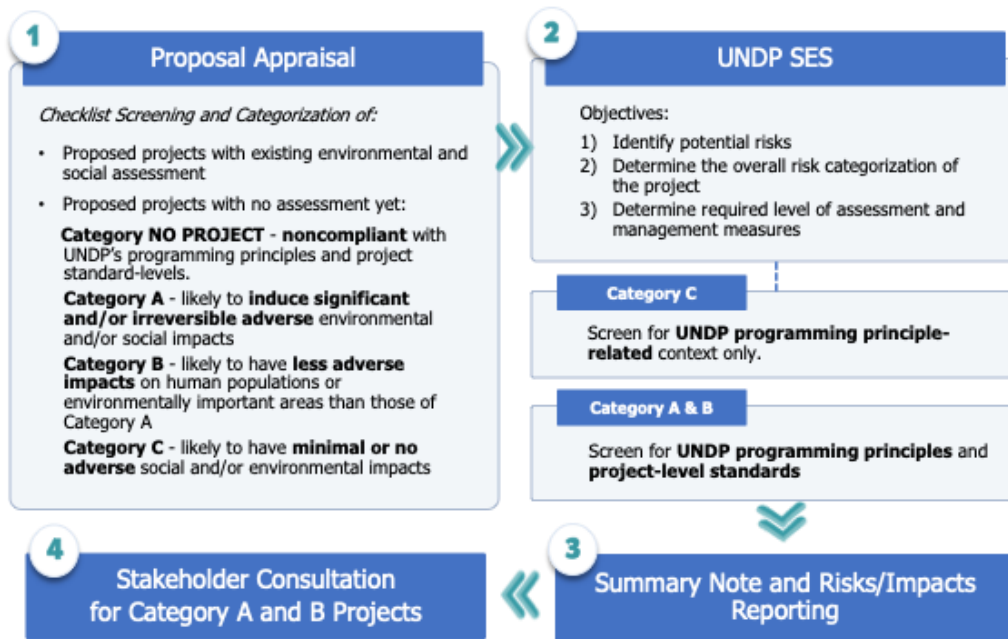


Figure 5. Social and environmental screening of bankable proposals

3.1 Proposal Appraisal and Screening

Proposals are assessed and categorized based on the level of potential impact on the scale of the activities and extent of impact on the environment and communities, including any foreseen indirect long-term risks.

Proposals will be categorized according to the following:

Table 13. Project categorization of bankable proposals

<p>Category NO PROJECT</p>	<p>The proposed project is non-compliant with UNDP’s programming principles and project standard-levels. Further discussions, alternative design, and reassessment of the project is required.</p>
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Category A	The proposed project is likely to induce significant and/or irreversible adverse environmental and/or social impacts that are sensitive, diverse, or unprecedented. A full ESIA/EIA and EMP will need to be completed during Project Formulation.
Category B	The proposed project is likely to have less adverse impacts on human populations or environmentally important areas than those of Category A projects. Likely impacts will be few in number, site-specific, and few if any will be irreversible. An IEE in the local setting and ESMP will need to be completed during Project Formulation.
Category C	The proposed project is likely to have minimal or no adverse social and/or environmental impacts. No further specific environmental and/or social assessment is required during Project Formulation, although those with procurement components may still have potential environmental and social sustainability considerations. These should be addressed as part of the regular project design activities and through UNDP's procurement processes, as applicable.

After the proposal appraisal (Part A), Category A, B, and C proposed projects will advance to the next stage, the social and environmental risk screening as required by the UNDP's SESP. Rating of Low to High will be noted for each identified risk, with the Moderate to High Risks recorded in the SHIELD project risk register.

The risk screening checklist will assist in screening Category A to C proposed projects. 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.

For Category C proposed projects, only the overarching principle and programming principle-related questions are required. As for Category A and B proposed projects, all questions on programming principles and project-level standards need to be completed.

3.2 Social and Environmental Summary Note

A summary is provided at the end of the process to guide the consortium and its partners in finalizing the bankable proposals for funding.

3.3 Stakeholder Consultations for A&B Projects

The impacts of Category A and B projects must be presented in a stakeholder consultation or validation workshop to seek the perspective of potentially affected communities and to gather potential social impacts of the projects. Results will also be captured in the summary note.

Successfully screened pipeline of bankable resilience proposals for the financing platform may leverage on the following funding opportunities:

Table 14. Identified funding opportunities for the SHIELD bankable projects

Internal LGU Funds	External Funding Sources
<ul style="list-style-type: none"> Local DRRM Fund (LDRRMF) Local Development Fund (LDF) LGU resources in specific offices for social, environmental, and infrastructure development and agriculture Local Development Fund Special funds (e.g. for special education, early childhood development, housing, GAD, and youth) 	<ul style="list-style-type: none"> People's Survival Fund (PSF) National DRRM Fund Performance Challenge Fund (PCF) Local Government Support Fund (LGSF) Resources from the Municipal Development Fund Office (MDFO) Green Climate Fund (GCF) Global Environment Facility (GEF) trust fund GPH Quick Response Fund Resources for public housing and disaster insurance coverage Potential private-public partnership (PPP)

Checklists for appraisal and screening (from Part A to Part D) are annexed to this report.

Annexes

Part A. Proposal Appraisal Checklist and Categorization

The following proposal appraisal checklist has been adopted from UNDP's previous Environmental and Social Checklist (2012) and current UNIDO and GCF Environmental and Social Screening template for proposals.

Question 1. Proposed projects with existing environmental and social assessment		Yes/No
<i>Context:</i> This question is relevant for cases when the LGU or MSP has advanced resilience projects that may have undergone a detailed environmental and social impact assessment. The purpose of the following question is to identify whether the existing assessment/documentation meets UNDP's SES requirements and Philippine Environmental Impact Statement System (PEISS).		Answer with Yes or No.
Question 1	Has a combined environmental and social impact assessment that covers the proposed project already been completed by the Sub-national partner (LGU), MSP, or other donor(s)?	
	<i>Notes:</i> <ul style="list-style-type: none"> • If YES, continue answering Table 1.1. • If NO, continue with Question 2 and undertake the necessary steps to complete the screening process to assign an appropriate UNIDO project category. 	
Table 1.1 Quality Assurance of Existing Environmental and Social Assessment		Yes/No
1.	Does the assessment/review meet its TOR, both procedurally and substantively?	
2.	Does the assessment/review provide a satisfactory assessment of the proposed project?	
3.	Does the assessment/review contain the information required for decision-making?	
4.	Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures to be clarified during project preparation and implementation stages)?	
5.	Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	
6.	Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	
	<i>Notes:</i> <ul style="list-style-type: none"> • If any of the questions in Table 1.1 result in a NO, continue with Question 2 to assign an appropriate category (Category NO PROJECT, A, B, or C) to the project. • If all the questions in Table 1.1 result in a YES, no further environmental and social review is required. Skip the questions and undertake the following steps: <ol style="list-style-type: none"> 1. Ensure that the project concept note/document incorporates the recommendations made in the National Partner/Project Execution Partner's or the donor's environmental and social review. 2. Summarize the relevant information contained in the National Partner/Project Execution Partner's or donor's environmental and social review in the E&S Summary Note of this Screening Template, selecting the appropriate UNIDO Category (Category NO PROJECT, A, B, or C), following the recommendations from the initial assessment. 3. Attach this E&S Screening Checklist and the E&S Summary Note, to the project concept. 	

Question 2. Determining 'Category NO PROJECT'		Yes/No
<i>Context:</i> The purpose of the following question is to identify whether the proposed project should be identified as a Category NO PROJECT, as it proposes project components or propose scenarios, which are not in line with the UNDP SES principles and standards.		Answer with Yes or No.
Question 2	Does the proposed intervention support any of the following?	
2.1	Conversion or degradation of natural habitat or critical habitat	
2.2	Does the assessment/review provide a satisfactory assessment of the proposed project?	
2.3	Manufacture, trade, and/or use of hazardous chemicals and/or materials subject to international action bans or phase-outs	
2.4	Application of pesticides that have a known negative effect on the environment or human health and have been banned by international conventions/agreements	

Question 2. Determining 'Category NO PROJECT'		Yes/No
2.5	Involuntary resettlement of populations	
2.6	Alteration, damage or removal of any physical and cultural heritage resources and/or sites	
	Notes: <ul style="list-style-type: none"> • If NO, proceed with Question 3. • If YES, the proposed project will be categorized as "Category NO PROJECT". It is non-compliant with UNDP SES programming principles and standard levels. Further discussions and alternative design of the project is required for the project to be reassessed. 	

Question 3. Determining 'Category A' proposed projects		Yes/No
<i>Context:</i>	The purpose of the following question is to identify whether the proposed project should be identified as a Category A , as it is <i>likely to induce significant and/or irreversible adverse environmental and/or social impacts</i> that are sensitive, diverse, or unprecedented. A full ESIA and ESMP will need to be completed during Project Formulation phase.	<i>Answer with Yes or No.</i>
Question 3	Does the proposed project contain any of the following aspects?	
3.1	Construction of new dams of height above 15 meters .	
3.2	Large-scale energy production and distribution facilities (e.g. wind power installations for energy production (wind farms), concentrated solar power stations).	
3.3	Resource recovery facilities (e.g. extraction of petroleum and natural gas for commercial purposes, processing of metal ores or coal etc.).	
3.4	Installations for storage of petroleum, petrochemical, chemical products or construction of pipelines , terminals and associated facilities for the large-scale transport of gas, oil and chemicals.	
3.5	Large-scale infrastructure (construction and/or expansion); new roads of four or more lanes; realignment and/or widening of existing roads to provide four or more lanes of 10 km or more in a continuous length.	
3.6	Large-scale sea and river ports and inland waterways and ports for inland waterway traffic; trading ports, piers for loading and unloading connected to land, and outside ports (excluding ferry piers).	
3.7	Establishing and/or relocating industrial zones, parks , etc.	
3.8	Large-scale primary agriculture or forestation, reforestation, or afforestation involving intensification, land use change or conversion of natural habitats, and use of mangroves and wetlands projects.	
3.9	Large-scale forest industry operations (e.g. logging, commercial harvesting of tree plantations, sawmills operations, or pulp and paper production mills with a production capacity exceeding 200 air-dried metric tonnes per day).	
3.10	Large-scale installations for the intensive rearing of poultry or livestock .	
3.11	Large-scale agro-industry .	
3.12	Large-scale aquaculture and mariculture (e.g. commercial scale industrial fishing operations).	
3.13	Plants for the tanning of hides and skins where the treatment capacity exceeds 12 tonnes of finished products per day.	
3.14	Municipal wastewater treatment plants with a capacity exceeding 150,000 population equivalent.	
3.15	Municipal solid waste processing and disposal facilities.	
3.16	Investments into 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.	
3.16	Involving indigenous people .	
3.17	Involving voluntary resettlement of populations .	
	Notes: <ul style="list-style-type: none"> • If NO, proceed with Question 4. 	

Question 3. Determining 'Category A' proposed projects		Yes/No
	<ul style="list-style-type: none"> • If YES, the proposed project will be categorized as "Category A". Conduct the following steps to complete the screening process: <ol style="list-style-type: none"> 1. Complete the UNDP E&S Screening Checklist and the E&S Summary Note. Select "Category A". 2. Attach the completed E&S Screening Checklist and the E&S Summary Note to the SHIELD project concept. 	

Question 4. Determining 'Category A' proposed projects		Yes/No
<i>Context:</i>	The purpose of the following question is to identify whether the proposed project should be identified as a Category B , as it is likely to have less adverse impacts on human populations or environmentally important areas than those of Category A projects. Likely impacts will be few in number, site-specific, and few if any will be irreversible. An ESMP will need to be completed during Project Formulation phase.	<i>Answer with Yes or No.</i>
Question 4	Does the proposed project fit within any of the following areas?	
4.1	Energy efficiency and energy conservation demonstration (e.g. projects involving transfer and deployment of pilot- level energy efficiency machinery, technology, etc., which serve as a basis for future replication and scale-up).	
4.2	Renewable energy demonstration , and associated access feed/access road infrastructure (e.g. projects involving transfer and deployment of pilot-level renewable efficiency technology, such as wind turbines, solar panels, micro and small hydro power etc. for productive use, which serve as a basis for future replication and scale-up);	
4.3	Rural electrification (e.g. pilot demonstration of renewable energy technology with associated mini-grids, etc.).	
4.4	Limited bioenergy projects utilizing sustainably-produced biomass feedstock or appropriate waste materials (e.g. rice husks, sawdust, corncobs, etc.).	
4.5	Rehabilitation of dams of height up to and above 15 meters .	
4.6	Small- and medium-scale agro-industries .	
4.7	Small- and medium-scale irrigation and drainage .	
4.8	Small and medium-scale aquaculture , including small and medium-scale industrial and artisanal fisheries.	
4.9	Climate change adaptation .	
4.10	Small- and medium-scale reforestation/afforestation and forest industry operation .	
4.11	Small- and medium-scale rural water supply and sanitation .	
4.12	Waste-processing and disposal installations for the incineration, chemical treatment or landfill of (non-)hazardous, toxic or dangerous wastes.	
4.13	Inadvertent release of chemicals in the environment from unsatisfactory decontamination procedures	
4.14	Risks of intoxication when using chemicals for culling.	
4.15	Code of conduct on distribution, handling and use of culling chemicals , as well as pesticides to control vectors during any storage or transport prior to final disposal.	
	Notes: <ul style="list-style-type: none"> • If NO, proceed with Question 5. • If YES, the proposed project will be categorized as "Category B". Conduct the following steps to complete the screening process: <ol style="list-style-type: none"> 1. Complete the E&S Screening Checklist and the E&S Summary Note. Select "Category B". 2. Attach the completed E&S Screening Checklist and the E&S Summary Note to the SHIELD project concept. 	

Question 5. Determining 'Category C' proposed projects		Yes/No
<i>Context:</i>	Context: The purpose of the following question is to identify whether the proposed project should be identified as a Category C, as it is likely to have minimal or no adverse social and/or environmental impacts (e.g. studies, policy inventory work, awareness raising activities). Beyond screening, no further specific environmental and/or social assessment is required for a Category C project.	<i>Answer with Yes or No.</i>
Question 5	Does the project interventions fall within any of the following categories?	

Question 5. Determining 'Category C' proposed projects		Yes/No
5.1	Report and/or inventory preparation;	
5.2	Education and training	
5.3	Event coordination	
5.4	Environmental and sustainable development analysis;	
5.5	Monitoring and evaluation exercises;	
5.6	Desk studies, workshops, meetings;	
5.7	Scientific research and field surveys;	
5.8	Research and extension in agriculture, forestry, fisheries, natural resource management	
5.9	Remote sensing and geospatial analysis;	
5.10	Capacity development, communication and outreach programs;	
5.11	Enabling Activities (e.g. preparation of NIP-Updates under the Stockholm Convention, etc.)	
5.12	Maintenance and upgrading of installations;	
5.13	Integration of new industrial management systems within existing facilities (e.g. environmentally sound management systems, etc.); and,	
5.14	Institutional development.	
	<p>Notes:</p> <ul style="list-style-type: none"> • If NO, return to Questions 2-4, to re-assess the project risk Category. If you are unsure, consult the SHIELD Consortium • If YES, the proposed project will be categorized as "Category C". No further environmental and social review required. <p>Attach this E&S Screening Checklist and the completed E&S Summary Note to the SHIELD project concept.</p>	

Part B. SESP Social and Environmental Risk Checklist

The risk screening checklist will assist in screening Category A to C proposed projects. 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.

For Category C proposed projects, only the overarching principle and programming principle-related questions are required. As for Category A and B proposed projects, all questions on programming principles and project-level standards need to be completed.

Potential Social and Environmental Risks Checklist		Answer (Yes/No)
Overarching Principle: Leave No One Behind		
Human Rights		
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?	
<i>Would the project potentially involve or lead to:</i>		
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? ⁵	
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)?	
<i>Would the project potentially involve or lead to:</i>		
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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	
P.12	exacerbation of risks of gender-based violence? <i>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.</i>	
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
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?	

⁵ 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.

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		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
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? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	
1.12	handling or utilization of genetically modified organisms/living modified organisms? ⁶	
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ⁷	
1.14	adverse transboundary or global environmental concerns?	
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
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? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	
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)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
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)?	

⁶ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

⁷ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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		
<i>Would the project potentially involve or lead to:</i>		
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		
<i>Would the project potentially involve or lead to:</i>		
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? ⁸	
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		
<i>Would the project potentially involve or lead to:</i>		
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)? <i>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</i>	
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? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	
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?	

⁸ 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.

6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
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?	
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
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? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	
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?	

Part C. UNDP Social and Environmental Screening

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

Integrating Programming Principles to Strengthen Social and Environmental Sustainability

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

Identifying and Managing Social and Environmental Risks

What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			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 <input type="checkbox"/>					
Moderate Risk <input type="checkbox"/>					
Substantial Risk <input type="checkbox"/>					
High Risk <input type="checkbox"/>					
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					
<u>Is assessment required? (check if "yes")</u>				<input type="checkbox"/>	Status? (completed, planned)
<i>if yes, indicate overall type and status</i>				<input type="checkbox"/>	Targeted assessment(s)
				<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)
				<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)
Are management plans required? (check if "yes")				<input type="checkbox"/>	

What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>	Describe the assessment and management measures for each risk rated Moderate, Substantial or High		
	<i>If yes, indicate overall type</i>		<input type="checkbox"/> Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
			<input type="checkbox"/> ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			<input type="checkbox"/> ESMF (Environmental and Social Management Framework)	

Part D. Social and Environmental Summary Note

This summary note is to be filled out after the SES Checklist and Screening have been accomplished.

Project Information

Project Information	
1. Name of the proposed project:	
2. Project Number (i.e. Atlas project ID, PIMS+)	
3. Location (Global/Region/Country)	
4. SHIELD Program Outcome being addressed:	
5. Name and role of the submitter:	
6. Agency/Organization of the submitter:	
7. Date submitted	

Proposed Project Categorization

Proposal Appraisal Outcome	Description
Select from the following:	
<input type="checkbox"/> Category NO PROJECT	The proposed project is non-compliant with UBDP's programming principles and project standard-levels. Further discussions, alternative design, and reassessment of the project is required.
<input type="checkbox"/> Category A	The proposed project is likely to induce significant and/or irreversible adverse environmental and/or social impacts that are sensitive, diverse, or unprecedented. A full ESIA and EMP will need to be completed during Project Formulation.
<input type="checkbox"/> Category B	The proposed project is likely to have less adverse impacts on human populations or environmentally important areas than those of Category A projects. Likely impacts will be few in number, site-specific, and few if any will be irreversible. An ESMP will need to be completed during Project Formulation.
<input type="checkbox"/> Category C	The proposed project is likely to have minimal or no adverse social and/or environmental impacts. No further specific environmental and/or social assessment is required during Project Formulation, although those with procurement components may still have potential environmental and social sustainability considerations. These should be addressed as part of the regular project design activities and through UNIDO's procurement processes, as applicable.

National Project Classification

Initial project categorization anchored on the Philippine Environmental Impact Statement System (PEISS) is based on the type of project, location, scale, and magnitude of social and environmental impacts. Check the category based on initial discussions and consultation with an expert, with DAO 2003-30 and EMB-MC 2014-005 as the guidelines.

Determine the type of assessment depending on the identified project category for the proposal.

Proposed Project Category	Description
<input type="checkbox"/> Category A	Projects or undertakings are classified as Environmentally Critical Projects (ECP) under Presidential Proclamation No. 2146 (1981), Proclamation No. 803 (1996) and any other projects that may be later be declared as such by the President of the Philippines; resource extractive having adverse impacts to the environment; Environmental Impact Assessment (EIA) is required.
<input type="checkbox"/> Category B	Projects or undertakings not classified as ECP under Category A, but may deemed to significantly affect the quality of the environment by virtue of being located in Environmentally Critical Area (ECA) (e.g. near a protected area, forest)

Proposed Project Category	Description
	as declared under Proclamation 2146 and according to the parameters set forth in EMB-MC 2014-005; either EIA or Initial Environmental Examination (IEE) is required depending on the type, scale, and magnitude of the proposed project.
<input type="checkbox"/> Category C	Projects or undertakings not falling under Category A and B which are intended to directly enhance the environment or directly address existing environmental problems; majority are renewable and enhancement projects requiring an IEE or Certificate of Non-Coverage (CNC) depending on the scale and magnitude of the impacts.
<input type="checkbox"/> Category D	Projects or undertakings that are deemed unlikely to cause significant adverse impact on the quality of the environment according to the parameters set forth in the Screening Guidelines; projects exempted from securing an ECC; requires a Project Description (PD) for CNC application.
<i>Indicate the required type of local environmental and social assessment (e.g. EIS, IEE, PD):</i>	
Type of Assessment	

Social and Environmental Risks and Impacts Summary



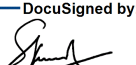
UNDP SES	Potential Risks and Impacts	Mitigation and Management Plans
Principle 1: Leave No One Behind Human Rights		
Principle 2: Human Rights		
Principle 2: Gender Equality and Women's Empowerment		
Principle 3: Sustainability and Resilience		
Principle 4: Accountability		
Project-Level Standards		
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		

*In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. This information will inform the development of TOR for ESIA or ESMPs.

**In this section, you should summarize how you intend to proceed with undertaking either ESIA (for Category A projects) or ESMP and IEE (for Category B projects), during Project Formulation.

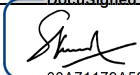
Submitted By	Reviewed and Approved By:
(Signature over Printed Name and Designation, Organization)	(Signature over Printed Name and Designation, Organization)
Date:	Date:

SHIELD Program Social and Environmental Screening Report Final Sign Off

Signature	Date	Description
<p>QA Assessor DocuSigned by:</p>  <p>Gwyneth Anne Pamos, Programme Analyst</p>	22 Nov 2021	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.
<p>QA Approver DocuSigned by:</p>  <p>Edwin Garcia, Deputy Resident Representative</p>	22 Nov 2021	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.
<p>PAC Chair DocuSigned by:</p>  <p>Selva Ramachandran, Resident Representative</p>	22 Nov 2021	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.

Simplified Minutes of the Project Appraisal Committee Meeting

Date of the LPAC	Start time	End time	Held at
22 November 2021	2:00PM	3:30 PM	Zoom: https://undp.zoom.us/meeting/register/tZ0lc-igpzotH9yA9LMsHI_hDeGPWfcXmyLM

Name of LPAC Chairperson:	Dr. Selva Ramachandran
Functional Title:	Resident Representative
Institution:	United Nations Development Programme
Signature:	 00A71179A59543C...

Have all LPAC participants received the PRODOC for appraisal prior to the meeting and in a timely manner?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Remarks:	Upon confirmation of attendance to LPAC, participants were furnished with a copy of the SHIELD Portfolio Document and its Annexes

Country:	PHILIPPINES
Project Title (full):	Strengthening Institutions and Empowering Localities Against Disaster and Climate Change (SHIELD)
Name and contact of Focal Point at the UNDP Office:	Edwine Carrie Deputy Resident Representative, UNDP Philippines edwine.carrie@undp.org Gwyneth Anne Palmos Programme Analyst, Climate Action Programme Team gwyneth.anne.palmos@undp.org

UNDAF Outcome(s):	Outcome 2: Urbanization, economic growth, and climate change actions are converging for a resilient, equitable and sustainable development path for communities
UNDP Strategic Plan Outcome	Outcome 3: Resilience built to respond to systemic uncertainty and risk.
Expected CPD Outputs (s)	2.1. Climate-sensitivity models and hazard maps developed and applied to help NGAs and LGUs better understand and plan for the extent, scope, and distribution of medium and long-term risks.

	2.2. Enabling policies, private sector engagement, monitoring, reporting and verification systems strengthened to help the country meet its commitments to the Paris Climate Agreement.
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Programme Period:	2019-2023	Total resources required (total project funds)	USD 13,448,283
Project ID/Output ID	00128629 00140487 00140485 00140488 00140482	Total allocated resources (UNDP managed funds)	USD 13,448,283
Project Start date:	2022	Donor (DFAT) UNDP	USD 13,148,283 USD 300,000
Proposed Management Arrangements	<input type="checkbox"/> NIM <input checked="" type="checkbox"/> DIM	Co-financing	-

Executing Entity/Implementing Partner	<ol style="list-style-type: none"> 1. United Nations Development Programme (UNDP) 2. Consortium of Bangsamoro Civil Society Inc. (CBCS) 3. National Resilience Council (NRC) 4. Philippine Business for Social Progress (PBSP) 5. UN-HABITAT
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2) Decisions of the LPAC	<input checked="" type="checkbox"/>	The Project was reviewed and appraised in terms of the following:
	Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Relevance</u>. Whether or not there is a consensus on the problem being addressed and the results the project intends to produce; and whether the proposed project is a priority for Government and UNDP;
	Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Feasibility</u>. Whether or not the project strategy will present a credible approach towards intended results
	Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Commitment</u>. Whether there is evidence that all concerned parties are committed to implementation of the project and whether the selected implementing partner is the best choice for the work to be done;
	Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Accountability</u>. Whether or not the proposed management and implementation arrangements clearly articulate accountabilities and roles and responsibilities;
Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Cost effectiveness</u>. Whether the project/annual work plan is designed to be cost effective and whether it promises to yield good value for money; 	

	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Sustainability</u>. Whether the project results will be sustained with the capacity to be developed;
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Environmental and Social Impacts</u>. Whether or not any potential environmental and/or social impacts and opportunities have been adequately addressed
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • <u>Gender Dimension</u>. Whether the project clearly integrates gender in its approach and results
Remarks on the above	Please see LPAC Report attached to the Minutes of the Meeting.	
Decisions of the LPAC	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>General endorsement of the Project's strategy:</u> <i>Refer to SHIELD Portfolio Document Section II. Strategy; Section III. Results and Partnerships containing SHIELD Program Outcomes and Outputs; Section V. Multi-Project Portfolio Results Framework containing output indicators and multi-year targets; and Section VII. Multi-year Work Plan specifying activities per output</i>
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>Specific</u> endorsement of the project's budget <i>Refer to SHIELD Portfolio Document Section VII. Multi-year Work Plan</i>
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<u>Specific</u> endorsement of the proposed project staff complement <i>Refer to SHIELD Portfolio Document Section VIII. Governance and Management Arrangements) and the program's organigramme</i>
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Endorsement of the TOR for key project staff <i>Refer to SHIELD Portfolio Document Section VIII. Governance and Management Arrangements and Annex 5 – Portfolio Project Board Terms of Reference and TORs of Key Management Positions</i>
	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Endorsement of the proposed strategy for stakeholder engagement <i>Refer to SHIELD Portfolio Document Section II. Strategy; Section III. Results and Partnerships; Section VIII. Governance and Management Arrangements; Annex on GEDSI Action Plan</i>
Remarks on the above	the LPAC endorses the project document, and takes good note of the comments made.	

2) Engagement of Implementing Entity/Responsible Partners		
Will the project engage entities other than the National Executing Entity/Implementing Partner?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If YES, which and for what purpose?	<input checked="" type="checkbox"/> Government department <input checked="" type="checkbox"/> NGO <input checked="" type="checkbox"/> Academia / centre of excellence <input checked="" type="checkbox"/> Others, i.e., private sector, Indigenous Peoples and Local Communities (IPLCs)	<p>Multistakeholder partners will be engaged as collaborators in the implementation of the SHIELD Program.</p> <p>GPH as main partner for the SHIELD Program holds key roles in its implementation, including: (1) GPH as member of the SHIELD Program Board; and (2) GPH as collaborating partners for the implementation of components. Implementation arrangements with NGA leads will be defined and stipulated in a partnership agreement.</p> <p>As for other MSPs or representatives from civil society, academe, private sector, among others, they equally play key roles in the implementation of the SHIELD Program, including: (1) MSP as member of the SHIELD Program Board; and (2) MSP as collaborating implementation . Detailed implementation arrangements with key MSP members may be further defined and stipulated in a Partnership Agreement with their respective institutions, as needed.</p>
Is the pre-selection of these partners in line with UNDP procedures and has this been fully endorsed by the LPAC?		<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Remarks	<p>Various consultations, workshops, and assessments were undertaken during the Project Initiation Phase (PIP). Partnership agreements will be signed with respective parties as required during the implementation phase.</p>	

3) General and Specific Recommendations of the LPAC
<p>Below are key highlights and recommendations discussed during the LPAC meeting.</p> <p>3.1 Relevance</p> <ul style="list-style-type: none"> SHIELD responds to the multidimensional challenges in strengthening resilience of institutions and localities against disasters and climate change in the Philippines. In particular, the four (4) inter-related conditions that characterize the Philippines: (1) the country's exposure and susceptibility to natural hazards and climate risks, (2) high economic cost of disasters, (3) climate change exacerbation of the vulnerability-poverty cycle for marginalized groups, and (4) reinforcement of the conflict and disaster nexus in certain regions of the country.

- It supports the Government of the Philippines (GPH), in partnership with various stakeholders, in building institutional and community resilience to climate change and natural hazards, while taking into account the systemic nature of risks, with the aim to make all people in target communities safer and more resilient to the impacts of natural hazard events and climate change.
- To deliver the goal of the SHIELD Program, three inter-dependent outcomes/components: 1) Government, private sector, and civil society stakeholders in targeted local government units (LGUs) are collaborating to unlock funding and implementing informed and inclusive resilience actions; 2) Relevant national government agencies (NGAs) are prioritizing action on local climate and disaster resilience; 3) Philippine scientific agencies are producing tailored and accessible information for local resilience action
- SHIELD Program will engage and mobilize multi-stakeholder partnerships (MSPs) as a key organizing strategy for SHIELD, with representatives from national and local government, civil society, academe, private sector, and communities jointly designing and implementing activities and delivering outputs that facilitate the attainment of program outcomes.
- SHIELD contributes to UNDP's Country Programme Outcome 2: Urbanization, economic growth, and climate change actions are converging for a resilient, equitable, and sustainable development path for communities.
- SHIELD Program aligns its interventions to Ambisyon Natin 2040 and the Philippine Development Plan and contributes primarily to the strengthening of foundations for sustainable development and inequality-reducing transformation pillar, but also aligns with increasing growth potential and enhancing the social fabric pillars.
- SHIELD also supports and builds on policies, programmes and initiatives related to pursuing risk-informed and resilient development, taking into consideration the COVID pandemic, and the 2022 elections, and natural and man-made disasters, among other externalities that may directly impact its implementation. It provides timely support to local governments and communities with the start of the transition to Full Devolution as part of the implementation of the Mandanas ruling
- SHIELD understood the value of adapting inclusive and holistic approaches for stating effective, harmonized risk-informed actions addressing climate change and disasters. It was reiterated that a whole-of-nation approach is necessary that foster safer, more resilient and pro-active local government units and that collaboration is a key for the success of this partnership.
- It was noted that the SHIELD Program implementation is timely as the National Disaster Risk Reduction and Management Council (NDRRMC) is in the process of implementing of the National Disaster Risk Reduction and Management Plan 2020-2030.
- During the implementation, SHIELD will ensure further consultations with Government, particularly the CCAM-DRR cluster to ensure orchestrated and harmonized efforts, including policy-making, in pursuing climate and resilience actions. SHIELD will have to ensure alignment with various tools and frameworks introduced at the national level and support as well its rollout.
- Cagayan Province has been added in the set of provinces to be covered, based on earlier recommendation from various Government agencies.
- SHIELD to consider extending assistance to 4th and 5th income class LGUs during its implementation.
- More strategic and specific interventions to LGUs will have to be defined in the

implementation of the SHIELD Program. LGUs will benefit more of an increase tax allocation, in light of the Mandanas ruling, but it would be good if all stakeholders of the program would come together to assist them to provide necessary support.

3.2 Feasibility and Environmental and Social Impacts

- The SHIELD Program adopts a multi-dimensional approach, the interventions are relevant, strategic and realistic, and have potential to deliver significant social and environmental benefits.
- SHIELD will utilize an adaptive management approach, strategically aligning activities with changing contexts to be more responsive to opportunities and to effectively achieve intended outcomes.
- SHIELD puts significant emphasis on gender equality and social inclusion (GEDSI), considering the differentiated risks and vulnerabilities experienced by certain groups and sectors. It also aims to address the fragmented implementation of gender equality, disability and social inclusion (GEDSI) initiatives in relation to resilience-building. The SHIELD Program will tackle GEDSI through a combination of targeted interventions and mainstreaming into all aspects of SHIELD's work. It provides guiding principles to ensure GEDSI considerations are applied to all aspects of program activities that will enable equal participation of and access to resources for all individuals regardless of gender, age, and disability status, among others. A GEDSI action plan has been in place to guide SHIELD's implementation. SHIELD is marked GEN2, where gender equality is a significant objective.
- Further social and environmental screening for sub-projects will be pursued to ensure risks are mitigated and managed.

3.3 Commitment, Accountability and Cost-Effectiveness

- In partnership with the Government of the Philippines, the SHIELD Program will be implemented by the UNDP, together with other Consortium Members, particularly UN-Habitat, Philippine Business for Social Progress, National Resilience Council, and the Consortium of Bangsamoro Civil Society. The consortium will be responsible for ensuring that the agreed upon outputs and activities are delivered towards achieving the program objectives and provide programming and technical oversight and backstopping to the SHIELD Support Unit. All five Consortium partners will serve as Implementing Partners responsible for managing respective project outputs and activities, in harmony with other Consortium workstreams, and manage risk in accordance with the agreed project document. As lead, UNDP takes overall responsibility and accountability for the effective use of resources and the delivery of outputs under the SHIELD Program.
- The SHIELD Program recognizes the multi-faceted nature of resilience-building and requires bringing together the needed expertise across diverse fields and sectors. The SHIELD Program Consortium brings forth a blend of capabilities in resilience-building, promoting policy and governance reform, leveraging and managing national and international finance, strengthening and facilitating evidence and science-based programming, and harnessing partnerships with varied stakeholders.
- The Department of Interior and Local Government serves as lead Government partner for the implementation of the SHIELD Program. Technical leads per outcome has been identified with DILG leading Outcome 1 and Department of Science and Technology leading Outcome 3. For Outcome 2, National Economic and Development Authority

(NEDA) agreed to have a separate discussion following the LPAC. It is now being proposed to have Office of Civil Defense to lead Outcome 2.

- The Consortium will be working closely with the national and local government and other multi-stakeholder partners in delivering the program outputs and activities.
- The development of the SHIELD Program has been informed by analytical work and series of consultations with stakeholders, including national and local governments, civil society, academe and private sector, from the design phase in 2019. Stakeholders, including select local governments consulted, have expressed interest and support in its implementation. Feedback received from various stakeholders have been taken into account which forms part of the revised Portfolio Document.
- The SHIELD Program Board will be established to provide oversight and high level strategic directions to the project. This will be composed of 1) SHIELD Consortium and Implementing Partners, composed of UNDP , CBCS, NRC, PBSP, and UN-Habitat. 2) Government of the Philippines, composed of DILG , NEDA, DOST, DOF, DENR, OCD, CCC, DHSUD, DTI, PCW, NCDA, and BARMM, through MILG and BPDA; 3) Donor, particularly Government of Australia, through the Department of Foreign Affairs and Trade , together with Australian science institutions; Other multi-stakeholder partners from civil society, private sector, and academe. Nomination of representatives will be decided by the Board. UNDP will act the chair with DILG and DFAT as vice chairs.
- Implementation arrangements with key Government partners and stakeholders will be further defined and stipulated in a Partnership Agreement with respective agencies, as required.
- As the SHIELD's lead government counterpart and Program Board co-chair, DILG expressed its commitment to the implementation of the SHIELD Program. Other Government agencies and stakeholders have expressed support to SHIELD.
- Program budget is spread over six years and will be distributed among five Implementing Partners. Investment focuses on delivering integrated workstreams, including providing targeted technical assistance, capacity development, joint analysis and planning, policy advice, knowledge management, enhancement of systems and processes, and essential project management, in order to achieve intended results. Program resources will be used to leverage financing from different streams and sources, particularly for the implementation of resilience actions at subnational level. Annual work plan will be presented for approval of the SHIELD Program Board.
- Funds will be fully administered by UNDP and its Implementing Partners composed of CBCS, NRC, PBSP and UN Habitat. SHIELD Program will not transfer funds to the Government, but technical assistance will be provided to GPH agencies
- There is recognition that SHIELD's institutional arrangements reflect the complex nature of the development challenges it seeks to tackle. It was recommended to review these arrangements during the implementation phase and explore possibilities of streamlining, based on lessons that could be learned.

3.4 Sustainability

- The partnership with national and local government, private sector, civil society, academe, communities, and other stakeholders will enable sustainability and ownership of the resilience agenda to be pursued under SHIELD.
The sustainability and scalability of SHIELD will be anchored on the following: 1) frameworks, plans, policies, strategies, guidelines and directives adopted and issued by the GPH, both at national and subnational level, for inclusive resilient development,

which will redefine the enabling environment from the national to the local level beginning within and extending outside of SHIELD program sites; and the institutionalization of MSPs in resilience building efforts at all levels; and resilience models that can be replicated and/or scaled in other localities.

Recommendation: Based on the review and discussion, the LPAC endorse the project document.

4) List of participants in the LPAC

	Agency	Name	Sex
1	Department of the Interior and Local Government	Marlo Iringan	M
2	Department of the Interior and Local Government	Jenifer Galorport	F
3	Department of the Interior and Local Government	Anna Bonagua	F
4	Department of the Interior and Local Government	Kristine Carmen Diones	F
5	Department of the Interior and Local Government	<i>An OSLG staff</i>	F
6	Department of Finance	Neil Adrian Cabiles	M
7	Department of Finance	Anna Marie Mercaldi	F
8	Department of Finance	Ferdinand Ortila	M
9	National Economic and Development Authority	Julius Casabal	M
10	National Economic and Development Authority	Diane Gail Maharjan	F
11	National Economic and Development Authority	William Sese	M
12	National Economic and Development Authority	Jacqueline Miel-Soliguin	F
13	Climate Change Commission	Jerome Ilagan	M
14	Climate Change Commission	Elaine Borejon	F
15	Climate Change Commission	Amelia Dulce Supetran	F
16	Climate Change Commission	Mylene Claudio	F
17	Department of Environment and Natural Resources	Kathleen Cornejo	F
18	Department of Environment and Natural Resources	Liz Silva	F
19	Department of Environment and Natural Resources	Alvin Lucio Fernando	M
20	Department of Environment and Natural Resources	Marnette Puthenpurekal	F

21	Department of Trade and Industry	Adrian Jasper Echano	M
22	Department of Trade and Industry	Dominic Tolentino	M
23	Department of Trade and Industry	Marlon Reyes	M
24	Office of Civil Defense	Marvin Kristian Arias	M
25	Philippine Commission on Women	Mildred Corral	F
26	Ministry of the Interior and Local Government, BARM	Mauricio Civiles	M
27	Aksyon Klima Pilipinas	Melvin Purzuelo	M
28	Philippine Chamber of Commerce and Industry	Augustus Adis	M
29	Philippine Chamber of Commerce and Industry	Grace Morella	F
30	Department of Foreign Affairs and Trade, Australian Embassy	Paul Harrington	M
31	Department of Foreign Affairs and Trade, Australian Embassy	Mei Santos	F
32	Department of Foreign Affairs and Trade, Australian Embassy	Harry Pasimio Jr.	M
33	UN-Habitat	Cris Rollo	M
34	UN-Habitat	Yen Flores	M
35	UN-habitat	Laidis Cea	F
36	National Resilience Council	Anjela Era	F
37	National Resilience Council	Marilou Suplido	F
38	Philippine Business for Social Progress	Juliet Labayan	F
39	Consortium of Bangsamoro Civil Society	Guiamel Alim	M
40	Consortium of Bangsamoro Civil Society	Wilhelmina Aquino	F
41	United Nations Development Programme (UNDP)	Selva Ramachandran	M
42	United Nations Development Programme (UNDP)	Edwine Carrie	M
43	United Nations Development Programme (UNDP)	Sanny Jegillos	M
44	United Nations Development Programme (UNDP)	Floradema Eleazar	F
45	United Nations Development Programme (UNDP)	Marian Co	F
46	United Nations Development Programme (UNDP)	Gwyneth Anne Palmos	F
47	United Nations Development Programme (UNDP)	Diana Kristina Velasco	F

48	United Nations Development Programme (UNDP)	Thea Bohol	F
49	United Nations Development Programme (UNDP)	Sheryl Joy Anne Gutierrez	F
50	United Nations Development Programme (UNDP)	Ma. Alexandra Milan	F
51	United Nations Development Programme (UNDP)	Humprey Garces	M

From: [Sutida Manaspiti](#)
To: [Gwyneth Anne Palmos](#)
Cc: [Marian Theresia Valera Co](#); [Diana Kristina Velasco](#); [Maria Alexandra Milan](#); [Humprey Garces](#); [Edwine Carrie](#); [Marta Lanzoni](#); [Susan Vauquelin](#); [Somaya Bunchorntavakul](#)
Subject: RE: QA - SHIELD Program SES
Date: Saturday, 20 November 2021 16:23:25
Attachments: [SES and ESMF_110421_SV.docx](#)
[Annex 3 - Risk Register_SV.docx](#)
[image001.png](#)
[image002.png](#)
[image003.png](#)
[image004.png](#)
[image005.png](#)
[image006.png](#)

Dear Gwen,



Please find attached technical comments from our expert, Susan Vauquelin, in cc.

As a quick summary, Risk 13 may be removed and Standard 3 may not be triggered. We'll be happy to organize a call with Susan if needed.

Best regards,
Sutida

From: Gwyneth Anne Palmos <gwyneth.anne.palmos@undp.org>
Sent: Thursday, November 18, 2021 5:33 AM
To: Marta Lanzoni <marta.lanzoni@undp.org>; Sutida Manaspiti <sutida.manaspiti@undp.org>
Cc: Marian Theresia Valera Co <marian.valera.co@undp.org>; Diana Kristina Velasco <diana.kristina.velasco@undp.org>; Maria Alexandra Milan <maria.alexandra.milan@undp.org>; Humprey Garces <humprey.garces@undp.org>; Edwine Carrie <edwine.carrie@undp.org>
Subject: RE: QA - SHIELD Program SES

Dear Marta,

Wish to refer you to the updated draft PortDoc for review  [DRAFT for Review - SHIELD Program Portfolio Document_17NOV2021_version_clean.docx](#) and all other annexes here  [SHIELD IPAC](#)

We look forward to your feedback.

Thanks very much.

Best regards,
Gwen

From: Marta Lanzoni <marta.lanzoni@undp.org>
Sent: Monday, 15 November 2021 18:30
To: Gwyneth Anne Palmos <gwyneth.anne.palmos@undp.org>; Sutida Manaspiti <sutida.manaspiti@undp.org>
Cc: Marian Theresia Valera Co <marian.valera.co@undp.org>; Diana Kristina Velasco <diana.kristina.velasco@undp.org>; Maria Alexandra Milan <maria.alexandra.milan@undp.org>;

Humphrey Garces <humphrey.garces@undp.org>

Subject: RE: QA - SHIELD Program SES

Thank you Gwen,
We'll review with comments from the SES expert.
All the best,
Marta

From: Gwyneth Anne Palmos <gwyneth.anne.palmos@undp.org>

Sent: Monday, November 15, 2021 4:00 PM

To: Marta Lanzoni <marta.lanzoni@undp.org>; Sutida Manaspiti <sutida.manaspiti@undp.org>

Cc: Marian Theresia Valera Co <marian.valera.co@undp.org>; Diana Kristina Velasco <diana.kristina.velasco@undp.org>; Maria Alexandra Milan <maria.alexandra.milan@undp.org>; Humphrey Garces <humphrey.garces@undp.org>

Subject: QA - SHIELD Program SES

Dear Marta and Sutida,

Please find attached request to for QA through the SES RBAP roster of the SHIELD Program's SES and risk register. Also attaching the draft Portfolio Document for reference.

We look forward to your feedback.

Thanks very much.

Best regards,
Gwen



Gwyneth Anne Palmos
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Social



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Social and Environmental Screening (SES) Report and Environmental and Social Management Framework (ESMF)

**Strengthening Institutions and Empowering Localities Against Disasters and Climate
Change (SHIELD) Program**

Prepared by:

Sheryl Joy Anne S. Gutierrez
Social and Environmental Safeguards Specialist

04 November 2021

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01

Social and Environmental Screening (SES) Report

1.1 Background

The United Nations Development Programme (UNDP) Social and Environmental Standards (SES) aims to advance a principled programming anchored on sustainable development and optimum social and environmental benefits through risk and impacts mitigation, management, monitoring and stakeholder engagement.

This report provides the results of the screening, assessment, and management plan to address any identified risks associated with the SHIELD Program. The results amplify the project's adherence to the three elements of the SES: (1) Programming Principles, (2) Project-level Standards, and (3) Social and Environmental Management System.

The screening process has integrated the social and environmental sustainability aspects, scrutinized the foreseen program risks, and presents the full potential and benefits of the Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD) Program in the context of sustainable development and resilience.

1.2 Methodology

1.2.1 Applicable Projects for Screening

All development projects under the three components of SHIELD, except those that fall under the exemption criteria have been screened to ensure conformance to the UNDP SES. These include the proposed outputs per component that may have potential impacts on the environment and communities.

Outputs that entail on-the-ground activities such as establishing facilities ("**downstream activities**") and may influence the decisions including planning support, policy, and capacity building ("**upstream activities**") are to undergo screening as they may lead to long-term impacts and risks.

For the initiation phase, the outputs per deliverable have been identified for two purposes of the SES: (1) exempted from SES and (2) screened for potential social and environmental risks and impacts. Each development output was delineated based on the nature of activities.

1.2.2 Screening Exemption Criteria

Projects exempted from the SES screening process are composed mostly of technical assistance in the form of training, capacity building, and partnerships.

The SESP exclusion include the outputs that consist **solely** of the following nature of activities:

- a) UNDP serves as Administrative Agent;
- b) Preparation and dissemination of reports, documents and communication materials;
- c) Organization of an event, workshop, and training;
- 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); and
- g) Development Effectiveness projects and Institutional Effectiveness projects.

1.2.3 Social and Environmental Risk Identification

The review involved identifying the potential direct and indirect impacts to the area of influence (AoI). The screening encompassed the upstream and downstream activities.

The table below summarizes the questions, UNDP SES standards and parameters used for the risk identification and assessment.

SESP Guide Question	Programming Principles	Description/Parameters
Question 1: How Does the Project Integrate the	(1) Leave no one behind (2) Human rights	Describe how the project mainstreams the human rights-based approach

Programming Principles in order to strengthen Social and Environmental Sustainability?	(3) Gender equality and women's empowerment	Describe how the project is likely to improve gender equality and women's empowerment		
	(4) Sustainability and resilience	Describe how the project mainstreams sustainability and resilience		
	(5) Accountability	Describe how the project strengthens accountability to stakeholders		
SESP Guide Question	Standard	Description/Parameters		
<p>Question 2: What Are the Potential Social and Environmental Risks?</p> <p>Question 3: What is the Level of Significance of the Potential Social and Environmental Risks?</p> <p>Question 3: What is the Overall Social and Environmental Risk Categorization of the Project?</p> <p>Question 4: What is the Overall Social and Environmental Risk Categorization of the Project?</p> <p>Question 5: Based on the identified risks and significance, what requirements of the SES are triggered?</p>	Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	<ul style="list-style-type: none"> Modified habitats Natural habitats Mitigation hierarchy Use of biodiversity offsets Critical habitats Illegal trade Protected areas Management of ecosystem services Invasive species 	<ul style="list-style-type: none"> Biosafety and genetic resources Forests Water resources Soil Management Sustainable management of living natural resources Access and Benefits Sharing Primary Supplies 	
	Standard 2: Climate Change and Disaster Risks	<ul style="list-style-type: none"> Climate change and disaster risk analysis, planning and implementation Invasive species Greenhouse gases (GHG) 		
	Standard 3: Community Health, Safety and Security	<ul style="list-style-type: none"> Community health and safety: Assessments and management plans Exposure to both accidental and natural hazards Community exposure to health issues Infrastructure design and safety Universal access Hazardous materials management and safety Emergency preparedness Risks associated with influx of project workers Impacts on ecosystem services Security-related issues 		
	Standard 4: Cultural Heritage	<ul style="list-style-type: none"> Cultural heritage site Cultural heritage of Indigenous Peoples Tangible and intangible cultural heritage Chance find procedures Community participation, stakeholder consultations and use of experts Continued access Confidentiality and restricted access by communities Integration and use of Cultural Heritage Commercial activities involving cultural heritage Legally protected cultural heritage areas Specific types of cultural heritage: archaeological sites and materials, built heritage, landscapes and natural features with cultural significance, and movable cultural heritage 		
	Standard 5: Displacement and Resettlement	<ul style="list-style-type: none"> Prohibit forced evictions, allowing evictions in exceptional circumstances only Avoid, minimize and mitigate physical and economic displacement Develop plans for displacement Action plans to address displacement impacts Resettlement Action Plan Physical displacement Economic displacement Addressing prior displacement Monitoring and completion analysis 		
	Standard 6: Indigenous Peoples	<ul style="list-style-type: none"> Respect for domestic and international law Identification of indigenous peoples 		

		<ul style="list-style-type: none"> • Land, territories, and resources • Legal personality • Involuntary resettlement • Relocation • Full, effective, and meaningful participation and FPIC • Documentation • Prior social and environmental impact study • Appropriate benefits • Support rights implementation • Special considerations: gender, vulnerable and marginalized indigenous peoples, Uncontacted and voluntarily isolated indigenous peoples, and cultural heritage • Indigenous Peoples Plan • Monitoring
	Standard 7: Labour and Working Conditions	<ul style="list-style-type: none"> • Terms and conditions of employment • payment of wages • written notice of termination of employment and details of severance payments • Non-discrimination and equal opportunity • measures of protection and assistance to vulnerable workers • Measures against violence and harassment • Workers organizations • Forced labour • Child labour • Occupational safety and health (OSH) • Workplace mechanisms • Access to safe and healthy facilities • Accident investigations • Workplace grievance mechanism • Contractor/Third Party Workers • Primary Supplier Workers • Procurement risk controls
	Standard 8: Pollution Prevention and Resource Efficiency	<ul style="list-style-type: none"> • Pollution prevention • Ambient considerations • Wastes • Hazardous materials • Pesticide use and management • Resource efficiency • Water usage

1.2.4 Risk Rating and Categorization

The significance of the risk is determined by estimating the level of impact and likelihood of its occurrence. Both the impact and likelihood of the Identified risk are measured from a scale of 1 (low) to 5 (high).

Evaluating the significance of a risk is guided by a matrix of impact and likelihood resulting to a risk categorization (i.e. Low, Moderate, Substantial, and High). The description and corresponding color codes are reflected in the table below.

Impact Rating			Likelihood Rating	
Score	Rating	Impact	Score	Rating
5	Extreme	Significant adverse impacts of large-scale magnitude and/or spatial extent and duration	5	Expected
4	Extensive	Adverse impacts of considerable magnitude, spatial extent, and duration	4	Very likely

Impact Rating			Likelihood Rating	
Score	Rating	Impact	Score	Rating
3	Intermediate	Impacts of medium magnitude, site-specific and, can be avoided, managed and/or mitigated	3	Moderately likely
2	Minor	Very minor impacts in terms of severity and magnitude, may be easily avoided, managed, and mitigated	2	Low likelihood
1	Negligible	Negligible or no adverse impacts on communities, individuals, and/or environment	1	Not likely

IMPACT	5 Extreme	M	S	S	H	H
	4 Extensive	L	M	S	S	H
	3 Intermediate	L	M	M	M	S
	2 Minor	L	L	L	M	M
	1 Negligible	L	L	L	L	L
		1 Not likely	2 Low likelihood	3 Moderately likely	4 Very likely	5 Expected
LIKELIHOOD						

Color Code:

Low	Moderate	Substantial	High
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Overall Rating Score	Overall Risk Significance Level
Low	Activities with minimal or no adverse social or environmental risks and impacts; no further assessment is needed; SES Programming Principles and stakeholder engagement requirements still apply.
Moderate	Activities with potential adverse social and environmental risks and impacts that are limited in scale, are largely reversible and can be identified with a reasonable degree of certainty and readily addressed.
Substantial	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.
High	<p>Activities with potential significant adverse social and environmental risks and impacts that are irreversible, unprecedented and/or which raise significant concerns among communities; typically involve a range of issues regarding the SES Programming Principles and Project-level Standards; and requires enhanced internal and external support.</p> <p>Downstream activities that (i) may adversely impact critical habitats, (ii) involve significant displacement and/or resettlement, (iii) produce significant quantities of greenhouse gases, (iv) may adversely impact the rights, lands, resources and territories of the indigenous peoples, or (v) other circumstances that reflect potentially significant adverse impacts.</p>

1.3 SES Screening Results

1.3.1 Activity Exclusion and Screening

Projects exempted from the SES screening process are composed mostly of technical assistance in the form of training, capacity building, and partnerships. Justifications for the exclusion by virtue of the SESP exemption criteria are indicated in the table below.

Exempted Output and Activities from SES Screening Requirement

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
Outcome 1: Government, private sector, and civil society stakeholders in targeted local government units (LGUs) are collaborating to unlock funding and implementing informed and inclusive resilience actions			
Deliverable 1: Specialist brokers are fostering collaborative and inclusive local multi-stakeholder partnerships (MSPs) and facilitating successful LGU proposals, financing, and implementation.			
Output 1.1 Engagement with LGUs established	<ul style="list-style-type: none"> Conduct of comprehensive and participatory capacity assessment and political economy analysis in all target LGUs Develop LGU engagement strategy, including selection of municipalities/cities and co-financing Establish partnership agreement with LGUs Conduct of Peace Conflict Development Analysis for BARMM, including selection of LGUs and communities 	(e.) Partnership coordination (including UN coordination) and management of networks (g.) Development Effectiveness projects and Institutional Effectiveness projects.	-
Output 1.2 Multi-Stakeholder Partnerships (MSPs) established and engaged in resilience planning, financing, and implementation of resilience actions	<ul style="list-style-type: none"> Conduct multi-stakeholder mapping and assessment with the partner LGUs Conduct capacity needs assessment and develop capacity development plan for each stakeholder Establish local multi-stakeholder partnerships in each LGU Implement capacity building interventions for MSPs Facilitate implementation of resilience actions of MSPs Establish cross-boundary linkages among MSPs 	-	Upstream activities in the form of planning support, policy advice, and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 1.3 Capacity development program for target LGUs developed and implemented	<ul style="list-style-type: none"> Conduct of capacity assessment for each LGU Develop capacity building program Implement capacity development interventions Assess results of capacity development 	-	Upstream activities in the form of capacity building which may present risks that are

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<ul style="list-style-type: none"> Learning exchange among LGUs 		predominantly indirect, long-term or difficult to identify.
Output 1.4 A robust data ecosystem that guides inclusive risk-informed planning, prioritization and resource allocation at the LGU level-established	<ul style="list-style-type: none"> Conduct mapping of existing or baseline database platforms and recommend integration mechanism Develop framework for LGU data ecosystem for resilient development, including establishing data standards and designing data architecture, to include GEDSI requirements Identify recommendations for investment per LGU Provide technical assistance in establishing data platform/ecosystem, including trainings on community preparation and engagement; geotagging and enumeration surveys; analytics and visualizations; data cleaning; community validation Data sharing protocols specific for each LGU, linked with national platform 	-	Upstream activities that may influence planning and policies of LGUs (policy advice), thus potentially posing long-term risks on data privacy and other social resilience interventions
Output 1.5 Risk- and resilience-informed plans, investment programs and budget prepared	<ul style="list-style-type: none"> Conduct comprehensive risk assessment with MSPs Conduct joint visioning on resilience outcomes with MSPs Conduct of consultations and trainings on project prioritization, CBA/MCA, and trade off analytics Conduct trainings on resilience financing, developing risk-informed LDIP; mentoring/coaching on enhanced PAPs Conduct of mentoring on developing and finalizing risk and resilience informed Annual Investment Programme and implementation plan including multi-stakeholder investments and financing program Conduct workshops on climate change expenditure tagging and report development Conduct inter-LGU planning and consultations and resilience building trainings and planning workshops Support policy development 	-	Upstream activities in the form of capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<ul style="list-style-type: none"> Conduct process documentation and develop case studies and knowledge products 		
Output 1.6 Bankable proposals developed and funded	<ul style="list-style-type: none"> Conduct mapping and assessment of funding windows (public, private, domestic, international), including requirements and analysis of bottlenecks for accessing Develop guide/checklist in developing bankable proposals according to requirements of varying funding windows, including standards/guidance in integrating resilience, GEDSI and SES Provide technical assistance, including quality assurance, in the development of proposals, in collaboration with MSPs 	<ul style="list-style-type: none"> (b.) Preparation and dissemination of reports, documents and communication materials; (c.) Organization of a workshop; (d.) Strengthening capacities of partners to participate in international negotiations and conferences; (e.) Partnership coordination (including UN coordination) and management of networks 	-
Output 1.7 Local Monitoring, Evaluation and Learning (MEL) system established	<ul style="list-style-type: none"> Conduct mapping of existing MEL platforms and recommend integration mechanism Develop local MEL framework linked with national MEL Provide technical assistance in establishing and operationalizing local MEL Pilot Resilience Index to target LGUs Capacity development on generating and utilizing evidence from local MEL for accountability, policy making, and decision-making Promote MEL to improve accountability and citizen participation, including through training of MSPs and local community groups on the use of DEVLIVE App, a mobile based tool adopted by DILG Develop and disseminate knowledge products emanating from MEL 		Upstream activities in the form of planning support, policy advice, and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 1.8 Resilience of value chains improved	<ul style="list-style-type: none"> Conduct value chain analysis, informed by risk assessment, for critical/priority sectors Conduct of training the assessment tools Develop the capacity-building framework for LGUs and business sector on value chain resilience Support implementation of priority capacity-building interventions Conduct multisectoral planning 	-	Upstream activities in the form of planning support and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
Output 1.9 LGU Surge Capacity during significant natural hazard/conflict events	<ul style="list-style-type: none"> Support development of business continuity plan (BCP) of LGU with MSPs Implement surge interventions as needed 	-	The planning support through development of BCPs and interventions may have a long-term impact on the LGU's preparation and response against natural hazard/conflict events
OUTCOME 2: Relevant national government agencies (NGAs) are prioritizing action on local climate and disaster resilience			
Deliverable 2: Policy influence is fostering prioritization of climate and disaster resilience actions.			
Deliverable 3: Technical advice is enabling LGUs and NGAs to monitor and evaluate local climate and disaster resilience actions.			
Output 2.1 Framework to organize and guide policy reform support developed	<ul style="list-style-type: none"> Conduct assessment of policies, including political economy analysis and cost-benefit analysis Co-develop policy reform framework with national MSP Develop national engagement strategy Support implementation of policy reform framework Conduct GEDSI policy research and strategy 	-	Upstream activities in the form of planning support which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.2 Multistakeholder partnerships established and engaged in policy development and advocacy towards resilient development	<ul style="list-style-type: none"> Conduct multi-stakeholder mapping and assessment at the national level Conduct capacity needs assessment and develop capacity development plan for each stakeholder Establish national multi-stakeholder partnership and convergence platform Implement capacity building interventions for national MSP Facilitate active involvement of MSPs in policy development 	-	Upstream activities in the form of planning support and capacity building which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.3 Rationalized/harmonized procedures and requirements for local resilience planning, investment programming, budgeting and accessing funds at national and local levels adopted	<ul style="list-style-type: none"> Support harmonization of risk and resilience assessment methodology and mainstreaming into CDP, CLUP and PDPFP developed and adopted by government (covering CDRA, CRMF, and CLIRAM tools, other tools plus introduction of resilience in the assessment) Support to rationalization of multiple planning requirements for LGUs, including updating of JMC No. 1 Series 2016 on rationalized local planning and budgeting 	-	Upstream activities in the form of planning support and policy advice which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<ul style="list-style-type: none"> Support development of guidelines for Mainstreaming Risk and Resilience in Project Development Support updating guidelines on utilization of Local DRRM Fund, Local Development Fund and improvements in local budgeting for resilience (DBM related which releases budget circular and joint MCs with DILG) Improved guidelines for access and utilization of NDRRMF, PSF and other grants Pursue rationalization and harmonization of other policies as they may evolve during implementation 		
Output 2.4 New/enhanced inclusive resilience framework, plans, policies, and strategies adopted	<ul style="list-style-type: none"> Support to operationalization of the NCRMF, updated NDRRMF and Plan, updated NCCAP/NAP and the NDC Support to formulation of national resilience framework, plans, policies, and strategies (in support of emerging needs in the course of implementation, including possible support to new DDR) Policy paper/brief development, expert peer review 	-	Upstream activities in the form of planning support and policy advice which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.5 Resilience Financing Platform established, and resilient investments supported	<ul style="list-style-type: none"> Conduct mapping and assessment of financing mechanisms to inform rationalization and advocacy towards reducing fragmentation and increasing complementation across funding streams Support strengthening of the Resilience Financing Framework, together with NGAs, linked with Climate Finance Platform Support private sector in establishing resilience financing platform to ensure their business continuity across the value chains, and identify business opportunities from resilient investments 	(b) Preparation and dissemination of reports, documents and communication materials; (e) Partnership coordination (including UN coordination) and management of networks; and/or (g) Development Effectiveness projects and Institutional Effectiveness projects.	-
Output 2.6 Support to BARMM Government	<ul style="list-style-type: none"> Develop capacity development programme based on PCDA analysis under Outcome 1 Implement capacity development interventions across BARMM ministries 	-	Upstream activities in the form of capacity building interventions which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	<ul style="list-style-type: none"> Support operationalization of Bangsamoro Community Resilience (CoRe) framework 		
Output 2.7 Enhanced national MEL for resilience established	<ul style="list-style-type: none"> Conduct of assessment of existing MEL systems, recommendations for enhancement, including framework, design, and strategy of enhanced MEL, linked to local MEL Technical assistance in the establishment of MEL infrastructure Capacity building for NGAs and stakeholders Establish knowledge and innovation platform from MEL, including Resilience Learning Design Lab Capacity development on utilization of evidence from national MEL for accountability, policy making, and decision-making Develop policy briefs based on data generated from national MEL 	-	Upstream activities in the form of planning support and capacity building in the context of national MEL for resilience which may present risks that are predominantly indirect, long-term or difficult to identify.
Output 2.8 National resilience index piloted and institutionalized	<ul style="list-style-type: none"> Establish resilience index (national and subnational scale) that takes into account the ex-ante, actual impacts, and ex-post elements of state and effects of natural hazards, including specific indicators and factors under socio-economic, ecological and governance systems (also taking into account multidimensional risks, to extent possible) Conduct pilot testing and application of analytical resilience models in two scales with dual objectives: (a) regional political-administrative boundary for easier integration in the current spatial and development planning, public investment programming, and budgeting systems, which will be integrated into the national composite index; and (b) upland, lowland, or coastal ecosystem levels for direct application to landscape domains and approaches focusing on the management of critical ecosystems; Develop the technical capacity and knowledge systems of national and local government to apply and use the methodology of resilience index in plan formulation, monitoring and 	-	Upstream activities in the form of planning support and policy advice which may present risks that are predominantly indirect, long-term or difficult to identify.

Deliverable	Activities	Justification for the Exclusion	Criteria for Screening
	reporting (e.g., trainings/workshops, data infrastructure systems, and information, education, and communication campaigns) <ul style="list-style-type: none"> Develop an approach/mechanism for institutionalization, replication and scaling-up. 		
Output 2.9 Improved national data ecosystem for resilient development	<ul style="list-style-type: none"> Support improving interoperability of existing CC-DRR/resilience databases Support establishment of resilience data access and sharing protocols Support to establishing data platforms, including National Loss and Damage Registry 	(g) Development Effectiveness projects and Institutional Effectiveness projects.	-
OUTCOME 3: Philippine scientific agencies are producing tailored and accessible information for local resilience action			
Deliverable 4: Collaboration between Philippine and Australian scientific agencies is improving the quality and accessibility of climate and hazard information products and services for LGU planners.			
Output 3.1 Collaboration between Philippine and Australian science agencies established	<ul style="list-style-type: none"> Resource and coordinate collaborations between Australian and Philippine scientific agencies, with a view to improving data and modelling Conduct a multi-stakeholder forum to ensure that the information produced reflects what is required to build resilience for all people, groups, and sectors 	(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	-
Output 3.2 Credible and accessible technical and scientific information is available for LGU planning and proposal development	<ul style="list-style-type: none"> Tailor the information for LGU accessibility, and promoting an interdisciplinary approach that is inclusive of and reflects the socio-economic dimensions of resilience strengthening To be defined during scoping mission with Australian science agencies 	(b) Preparation and dissemination of reports, documents, and communication materials (f) Global/regional projects with no country-level activities (e.g. activities such as knowledge management, inter-governmental processes);	-

1.3.2 Summary of Activities for SES Exclusion and Screening

The two initial classification of activities based on the nature and function are as follows:

Activities for SES Exclusion	Activities for SE Screening
Outcome 1 Collaboration	
Deliverable 1 Specialist brokers	
Output 1.1 Engagement with LGUs Output 1.6 Bankable proposals developed and funded	Output 1.2 Multi-Stakeholder Partnerships (MSPs) Output 1.3 Capacity development program for target LGUs Output 1.4 Robust data ecosystem for inclusive risk-informed planning Output 1.5 Risk- and resilience-informed plans, Output 1.7 Local Monitoring, Evaluation and Learning (MEL) Output 1.8 Resilience of value chains improved Output 1.9 LGU Surge Capacity
Outcome 2 National priority action	
Deliverable 2: Policy influence	
Deliverable 3: Technical advice on monitoring and evaluation	
Output 2.5 Resilience Financing Platform Output 2.9 Improved national data ecosystem	Output 2.1 Framework for policy reform support Output 2.2 MSP for policy development Output 2.3 Harmonization of local resilience planning and investment Output 2.4 Inclusive framework , plans, and policies Output 2.6 Support to BARMM Government Output 2.7 Enhanced national MEL Output 2.8 National resilience index
Outcome 3: Philippine scientific agencies	
Deliverable 4: Collaboration between Philippine and Australian scientific agencies	
Output 3.1 Collaboration between Philippine and Australian science agencies Output 3.2 Accessibility of scientific information	-

Remaining activities underwent the social and environmental screening process to identify any potential indirect and long-term risks, as guided by the SESP. These upstream activities include the planning support, policy intervention, and capacity building works offered by UNDP and its consortium to the partner stakeholders, national agencies, private sector, and local communities.

Actual activities are to be identified together with the stakeholders in the succeeding phase of the SHIELD Program.

1.3.3 Social and Environmental Screening Checklist

Development projects, except those excluded from the screening requirement, have been initially scrutinized based on the UNDP screening checklist to gauge any potential social and environmental risks, and later, serve as a guide for the identification of risks, assessment, and overall categorization and management.

Checklist Potential Social and Environmental Risks		
Activities under each outcome and deliverable		Answer Yes (Y) or No (N)
Overarching Principle		
Principle 1: Leave No One Behind Human Rights		
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)?	N
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?	Y
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	Y
<i>Would the project potentially involve or lead to:</i>		
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?	Y
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? ¹	Y
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?	Y
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	N
Principle 2: 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)?	N
<i>Would the project potentially involve or lead to:</i>		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	N
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Y
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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	Y
P.12	exacerbation of risks of gender-based violence? <i>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.</i>	N
Principle 3: Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Principle 4: Accountability		
<i>Would the project potentially involve or lead to:</i>		
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?	Y

¹ 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.

Checklist Potential Social and Environmental Risks	
Activities under each outcome and deliverable	Answer Yes (Y) or No (N)
P.14 grievances or objections from potentially affected stakeholders?	Y
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?	N
Project-Level Standards	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
<i>Would the project potentially involve or lead to:</i>	
1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	N
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?	N
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)	N
1.4 risks to endangered species (e.g. reduction, encroachment on habitat)?	N
1.5 exacerbation of illegal wildlife trade?	N
1.6 introduction of invasive alien species?	N
1.7 adverse impacts on soils?	N
1.8 harvesting of natural forests, plantation development, or reforestation?	N
1.9 significant agricultural production?	N
1.10 animal husbandry or harvesting of fish populations or other aquatic species?	N
1.11 significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	N
1.12 handling or utilization of genetically modified organisms/living modified organisms? ²	N
1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ³	N
1.14 adverse transboundary or global environmental concerns?	N
Standard 2: Climate Change and Disaster Risks	
<i>Would the project potentially involve or lead to:</i>	
2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunamis or volcanic eruptions?	Y
2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	Y
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)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	Y
2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N
Standard 3: Community Health, Safety and Security	
<i>Would the project potentially involve or lead to:</i>	

² See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

³ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

Checklist Potential Social and Environmental Risks		
Activities under each outcome and deliverable		Answer Yes (Y) or No (N)
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)	N
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	N
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	N
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	N
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)?	N
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	N
3.7	influx of project workers to project areas?	N
3.8	engagement of security personnel to protect facilities and property or to support project activities?	N
Standard 4: Cultural Heritage		
<i>Would the project potentially involve or lead to:</i>		
4.1	activities adjacent to or within a Cultural Heritage site?	N
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	N
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)	Y
4.4	alterations to landscapes and natural features with cultural significance?	N
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	N
Standard 5: Displacement and Resettlement		
<i>Would the project potentially involve or lead to:</i>		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	N
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)?	N
5.3	risk of forced evictions? ⁴	N
5.4	impacts on or changes to land tenure arrangements and/or community-based property rights/customary rights to land, territories and/or resources?	N
Standard 6: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
6.1	areas where indigenous peoples are present (including project area of influence)?	N
6.2	activities located on lands and territories claimed by indigenous peoples?	N
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)?	N

⁴ 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.

Checklist Potential Social and Environmental Risks		
Activities under each outcome and deliverable		Answer Yes (Y) or No (N)
<i>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</i>		
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?	N
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N
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? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	N
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	N
6.8	risks to the physical and cultural survival of indigenous peoples?	N
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	N
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	N
7.2	working conditions that may deny freedom of association and collective bargaining?	N
7.3	use of child labour?	N
7.4	use of forced labour?	N
7.5	discriminatory working conditions and/or lack of equal opportunity?	N
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	N
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
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?	N
8.2	the generation of waste (both hazardous and non-hazardous)?	N
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	N
8.4	the use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	N
8.5	the application of pesticides that may have a negative effect on the environment or human health?	N
8.6	significant consumption of raw materials, energy, and/or water?	N

Note: **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.

1.3.4 Social and Environmental Screening

This Social and Environmental Screening Report reflects the risks per output under each deliverable and recommends the mitigation measures and plans as guidance to the implementation process. Both the potential adverse impacts and enhancements have been reflected in the screening results. The risk categorization which involves the rating of impact and likelihood only pertains to risks, if any.

A. Project Information

Project Information	
1. Project Title	Strengthening Institutions and Empowering Localities Against Disasters and Climate Change (SHIELD)
2. Project Number (i.e. Atlas project ID, PIMS+)	
3. Location (Global/Region/Country)	Philippines
4. Project stage (Design or Implementation)	Initiation Phase Plan
5. Date	03 November 2021

B. 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?
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
<p>The vulnerability of the Philippines to disasters and its exposure to climate change exacerbates poverty and social inequality in the country. Climate change together with environmental degradation serve as one of the main drivers of economic disruption and developmental decline over the past decades. The frequent occurrence of extreme climatic events and crises undermine the resilience of the country which is defined by United Nations Office for Disaster Risk Reduction (UNDRR) as the ability to recover from the impacts of hazards in a shorter period. The interplay between climate change and inequality reinforces the vicious vulnerability-poverty cycle, affecting the marginalized people. Disasters place a toll to development, economic opportunities, and shelter.</p> <p>The SHIELD Program ensures social equity and equality by (1) providing opportunities to the vulnerable and marginalized through the resilience policy interventions; (2) integration of GEDSI requirements, (3) empowerment of targeted local communities through various capacity building workshops; and (4) promotion of multi-stakeholder and multi-sectoral approach to planning and design. The program aims to build and institutionalize national and local community resilience through inclusive planning and actions.</p> <p>The GPH and Government of Australia have identified 10 beneficiary provinces and two regions to support for the implementation of SHIELD Program. They have been chosen based on the (1) degree of vulnerability in times of disaster events and overall geographic exposure to disasters; (2) degree and extent of economic cost of damage based on previous disasters; and (3) current gaps in the provision of assistance from national institutions and international donors. Through these criteria, SHIELD is ensured to deliver its long-term impacts to those who most need them, thus fostering equality in the use and distribution of resources and prioritizing the marginalized and most vulnerable communities.</p>

A stakeholder and grievance redress mechanism has been developed for SHIELD to respond to any feedback, complaint, and grievance from various stakeholders include the marginalized and vulnerable communities. The process has been set to accommodate any concerns from them through different types of platforms, suiting their needs and requirements. The approach and mode can be reviewed during the implementation phase to extend the reach and ensure that responses and improvements are delivered.

Interventions of SHIELD would ensure that developing resilience entails the inclusive participation of all to benefit all people, with utmost consideration of GEDSI principles.

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

Women and children from poor households including the indigenous peoples, elderly, persons with special needs and disabilities, and other marginalized groups suffer the most during disasters. They are dependent on the sustenance provided by natural resources which are destroyed or damaged by extreme weather hazards. One of the current challenges of upscaling the resilience in the country is the fragmented implementation of gender equality, disability, and social inclusion (GEDSI) initiatives.

SHIELD Program has focused on gender sensitive planning, implementation, and integration of the (1) GEDSI action plan, (2) conduct of GEDSI analysis and training, and (3) women engagement. Action items for each key deliverable would ensure that the rights of women to a safe environment, accessibility to social services, and special support in times of disasters, are in place. By advancing gender context in the project design and implementation, SHIELD works to identify and provide gender-responsive and transformative results with women as the key players and change agents.

GEDSI principles are embedded at the core of the program through a combination of targeted interventions and mainstreaming into all aspects of SHIELD's work. The development of a GEDSI strategy for SHIELD, together with earmarked resources, will reflect GEDSI across all components of the Program. The following major considerations in the execution of SHIELD would yield equal participation and access to resources for all individuals regardless of gender, age, disability status, and others:

- All activities should be gender balance and socially inclusive.
- There is equal representation of diverse voices in implementation.
- There is effort to reach out to diverse partner agencies and organizations.
- There are tailored interventions to specific vulnerable groups.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The Philippines has been tagged by the 2020 World Risk Report as the ninth most vulnerable country to disasters globally. Climate-related hazards such as typhoons, floods, tsunamis, and droughts worsen the situation of marginalized groups in the country, translating to an economic loss of USD 13 billion. The country's exposure to extreme weather events places the Philippines as the fourth impacted globally based on the 2021 German Climate Risk Index. Out of the top ten most-at-risk cities, eight nestle in the Philippines. Poor families residing in high-density and high-risk areas find difficulty in terms of recovery.

SHIELD aims to support the national and local governments towards national resilience through effective prevention, preparedness, mitigation, adaptation, response, and recovery action plans and systems. In building resilient communities, the components of SHIELD Program will lay the ground for (1) evidence-based assessment of systemic and multi-dimensional risks; (2) risk-informed investments; and (3) capacity building among multiple stakeholders including the vulnerable and marginalized groups. These key foundations would help the subnational governments in addressing the limited access to reliable data and maximize the available funding mechanisms. SHEILD hopes to support the government in harmonizing the resilience-building efforts among national agencies, and unlock financing opportunities for climate and disaster resilience actions.

Briefly describe in the space below how the project strengthens accountability to stakeholders
<p>Interventions of SHIELD rests on a systems approach, allowing people to be part of the process and leverage on each other's capacities. Therefore, SHIELD entails strong leadership and good coordination backed up by transparency and accountability to stakeholders. Multi-Stakeholder Partnerships (MSPs) at all levels of implementation serve as platforms for various stakeholders from the private, civil society, and academe to be involved and well-represented.</p> <p>Practicing and promoting transparency in transactions and handling of finances, stakeholder response and grievance redress mechanism, stakeholder consultations and validation workshops. SHIELD would also monitor compliance with national laws and regulations as well as with UNDP's procurement and other guidelines that discourage forms of bribery and corruption. The project would apply UNDP SES to ensure accountability and transparency in both its activities and decision-making processes. Examples of accountability measure reflected in the project design is the accessibility of a stakeholder response and grievance redress mechanism, and reporting of expenditures and program progress.</p>

C. Identifying and Managing Social and Environmental Risks

Based on the results of the initial screening, below are the identified risks per confirmed "yes" in the social and environmental checklist. Majority of the risks related to principle-programming range from Low to Moderate. Moderate to High risks have been added to the project risk register for SHIELD Program.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the "yes" answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p>Risk 1: Failed attempts of lead Consortium and GPH partners, and supporting NGAs in meeting the roles, obligations, and functions to unlock funding and implement informed and inclusive resilience actions.</p> <p><u>Triggered:</u> P.2 Is there a risk that duty-bearers (e.g. government agencies) do</p>	I = 2 L = 3	Low	<ul style="list-style-type: none"> Realizing the benefits of multi-stakeholder partnerships (MSPs) is grounded on the clarity of roles and vision among stakeholders (Output 1.3). It is crucial that governments identify the priority sectors for value chain analysis (Output 1.8). Continuity depends on the capacity and political will of government to transcend plans and policies beyond administrations, especially during elections (Output 2.1). 	<ul style="list-style-type: none"> Engagement of non-political actors during the start-up. Developing a partnership agreement with key actors and partners and clearly defining the structure and goals of MSPs. Conducting a capacity needs assessment through series of stakeholder consultations. Performing monitoring and evaluation to track the progress of LGUs with respect to the objectives and outcomes of SHIELD.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p>not have the capacity to meet their obligations in the project?</p>			<ul style="list-style-type: none"> The presence of various stakeholders may result to confusion during planning and resource allocation due to overlapping of existing policies, guidelines, and project development initiatives (Output 2.3). Conflicting ideas, biases and agenda may get in the way of supporting the new DRR. Political attributes of each involved agency may influence the direction of the national frameworks, plans, strategies, and budget (Output 2.4). The lack of clarity on the mandate, role and position of the new department on disaster resilience may result to overlaps with the mandates, plans and strategies of other agencies (Output 2.4). Localized implementation of the national resilience index to push for CC-DRR funding allocation to LGUs, capacity building and strengthening of accountability may not come into full realization due to political conflicts and agenda as the election progresses in 2022 (Output 2.8). 	<ul style="list-style-type: none"> Develop training modules on the application of evidence-based assessment in risk resilience planning, investment, and preparation of budget.
<p>Risk 2: Underwhelmed capacity of rights-holders such as the receiving local communities or SHIELD program-affected persons to claim and exercise their rights to development, resilience, and other fruits of the</p>	<p>I = 3 L = 2</p>	<p>Moderate</p>	<ul style="list-style-type: none"> Vulnerable groups are often not well accounted for in the proper planning due to lack of real-time disaggregated data reflecting the poverty condition, inequality in terms of accessibility to social services, and specific requirements of the marginalized sector (Output 1.4). 	<ul style="list-style-type: none"> Enhancing the government's data governance framework to reflect inclusive data. Collection of inclusive data including the population and socio-economic condition of the vulnerable/marginalized groups and conduct of data gaps analysis.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p>program including the accessibility to financing.</p> <p><u>Triggered:</u> P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?</p> <p>Risk 3: Exclusion of any potentially affected stakeholders, including marginalized groups (e.g. women, children, elders, poor, IPs, LGBTQ) from fully participating in decisions that may affect them.</p> <p><u>Triggered:</u> 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>			<ul style="list-style-type: none"> Local communities that have poor internet connection may encounter difficulty in accessing the local MEL. Baseline data gathering needs to be streamlined as well to project factual scenarios (Output 1.7). Various value chains have been affected by the pandemic, thus, making the marginalized groups such as the MSMEs or small business owners and farmers or local producers more vulnerable to the double whammy effect – aggravated combined impact of COVID-19 and climate change (Output 1.8). Marginalized sectors are often neglected in budgeting resources and building a pipeline of projects for the financing platform. Prioritization is a must (Output 2.5). 	<ul style="list-style-type: none"> Conducting a stakeholder identification, mapping and engagement plan including a list of the priority sectors for planning, consultation and building the project pipeline for the financial platform. Covering the vulnerable and marginalized groups in developing or enhancing the national resilience framework, plans, policies, strategies, and indices, thereby reflecting the realities on the ground and increasing the rights of marginalized groups to a resilient environment and improving the accessibility to social services and DRRM response facilities (Output 2.4). Ensuring representation of vulnerable and marginalized sectors in the MSPs and during planning, workshop, and consultations. Conduct of GEDSI analysis and training. Developing a stakeholder response and grievance mechanism.
<p>Risk 4: Adverse impacts on the enjoyment of human rights (civil, political, economic, or social) of the affected communities and particularly of marginalized groups.</p> <p><u>Triggered:</u> P.4 Would the project potentially involve or lead to adverse impacts on enjoyment of the human rights</p>	I = 2 L = 3	Low	<ul style="list-style-type: none"> Enhancing MEL, developing an LGU co-financing model, and creating cross-sectoral learning and good practices are all limited to the physical and financial targets, other elements of human rights such as the nontangible civil, political, economic, and social benefits may not be fully realized, but foreseen to be indirectly impacted (Output 1.7). 	<ul style="list-style-type: none"> Integration of human rights in the national policy frameworks, considering the intricate participation of different agencies. Each element of the framework will be reflective of the needs and real-life scenarios of the marginalized groups (Output 2.1). This will be backed up with ground-truthing through surveys and collection of data from the localities (Output 1.4).

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p>(civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?</p>			<ul style="list-style-type: none"> • The farmers or producers, who are often at the bottom of the value chain, and the small businesses require representation in developing the value chain assessment tool presence in the capacity building efforts. However, resource constraints may inhibit them from joining (Output 1.8). • Due to the complexity of the integration of policy reform support framework with the existing GPH frameworks, not all requirements of the marginalized groups to build resilience maybe covered. In building national frameworks, the ground implementation remains to be a challenge (Output 2.1). • Personal or organization agenda and biases of organizations involved in the MSPs may pose risks and deviate from the program’s vision of creating an “inclusive” resilient development (Output 2.2). Harmonization from sub to national level may pose political risks as conflicting agenda of agencies may surface, which may indirectly affect the enjoyment and realization of human rights at the ground level (Output 2.3). • Resilience has been associated by Filipinos with the capacity to withstand calamities and disasters, and not the capacity to bounce back forward in shortened recovery period. This misnomer definition of resilience must be avoided in establishing the national 	<ul style="list-style-type: none"> • Multi-sectoral approach on policy reform to ensure inclusive participation of the vulnerable and marginalized sectors (Output 2.2). • Providing special attention in building the capacities of vulnerable sectors from the SHIELD target sites covering mitigation, preparedness, response, and recovery (Output 2.4). • Conduct of workshops to define resilience and aligning it based on their respective situation or context.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
			frameworks, plans, policies, and strategies (Output 2.4).	
<p>Risk 5: Inequitable representation and potential exclusion of affected communities in the development of national resilience frameworks, policies, indices, and implementation</p> <p><u>Triggered:</u> P.5 Would the project potentially involve or lead to inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities?</p>	I = 2 L = 3	Low	<ul style="list-style-type: none"> • There a risk of failing to build inclusion in defining and translating resilience as MSPs and Resilience Brokers facilitate cross-jurisdictional approaches to resilience (Output 1.2). • LGUs with faster learning curves and support for the deployment of resources maybe favored over the LGUs with slower progress in terms of capacity development, thus developing biases during project implementation (Output 1.3). • Requirements of marginalized sectors and data reflecting the diversity of local communities such as the ethnicity, religion, age group, gender identity, language, disability, and geographical origin are often not captured and detailed in developing DRRM Plans (Output 1.9). • Due to the broadness of scope, the resilience frameworks, plans and other outputs may not directly support the emerging needs of the local vulnerable communities (Output 2.4). Local communities may not directly be benefited by the pipeline of projects and the financial platform may not be accessible to them due to poverty, technological, and knowledge constraints (Output 2.5). 	<ul style="list-style-type: none"> • Collection of inclusive data disaggregated data and robust baselining that would showcase diversity such as race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political orientation, social status or geographical origin, and property (Output 1.7). • Representation from vulnerable and marginalized sectors in the MSPs and during planning, workshop, and consultations. • Review of products and deliverables (e.g. national framework, resilience index) based on the lens of vulnerable communities. • Developing a stakeholder response and grievance mechanism. • Capacity building of stakeholders in the value chain, especially the vulnerable and marginalized sectors at the sub-national level such as the farmers, local distributors, and small business owners, allowing equitable opportunities in enhancing local production and businesses (Output 1.8). • Revisiting of Public Service Continuity Plans (PSCPs) and DRRM Plans at the sub-national levels (Output 1.9).

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p><i>Risk 6:</i> Restrictions in availability, quality of and/or access to resources or basic services, in particular, to marginalized sectors.</p> <p><u>Triggered:</u> P.6 Would the project potentially involve or lead to 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>	I = 2 L = 2	Low	<ul style="list-style-type: none"> • The lack of access to technology and knowledge management may prevent local participation of vulnerable and marginalized groups at the subnational level (Output 1.3). • Integration of broad national frameworks may hit or miss the ground-level scenario of local community resilience (Output 1.5). • Sectoral biases may inhibit the flow of ideas and support to GPH agencies on resilience-related reforms, thus making the outcome less accessible to those who most need it (Output 2.2). • Resource and technological constraints among targeted remote local communities may refrain them from realizing the full potential of the financing platform (Output 2.5). • Current activities of the private, organizations, and public agencies in supporting the BARMM may produce overlaps and restricted granularity to SHIELD’s Program implementation (Output 2.6). 	<ul style="list-style-type: none"> • Inter-LGU and MSP capacity building, learning exchanges and active reflection sessions to unlock the current situation of the local communities including their access to resources, such as financing and technology, and other basic services (Output 1.2). • Integrating data and information on the availability and accessibility of social services and facilities to support LGUs in their planning, resource allocation and prioritization (Output 1.4). • Assessment of bottlenecks in implementing local MEL procedures to address the availability and scarcity of resources (Output 1.7). • Engaging the private sector in strengthen the food production systems and value chains to empower small businesses, allowing resources to flow along the resilience value chains (Output 1.8). • Translation of and alignment between the national Policy Reform Support Framework and sub-national level interventions (Output 2.1).
<p><i>Risk 7:</i> Potential discriminations against women or limited opportunities for them to participate in the program design/implementation, exercise</p>	I = 3 L = 2	Moderate	<ul style="list-style-type: none"> • Lack of gender-based data poses a challenge in establishing a robust local data ecosystem both at the national and sub-national levels (Output 1.4). Local MEL may not capture the GEDSI targets if the local data ecosystem lacks the resources to 	<ul style="list-style-type: none"> • Conduct of GEDSI analysis and training both in the national and subnational levels. • Collection of gender-based data and robust baselining for MEL

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p>rights to resilience and gain benefits.</p> <p><u>Triggered:</u> P.10 Would the project potentially involve or lead to reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?</p> <p>Risk 8: Limited opportunities on women’s ability to use, develop and protect natural resources, with respect to different roles and positions of women and men in accessing social goods and services and resilience building.</p> <p><u>Triggered:</u> P.11 Would the project potentially involve or lead to 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?</p>		<p style="text-align: center;">Low</p>	<p>establish a reliable baseline of women’s access to social services, and response facilities (Output 1.7).</p> <ul style="list-style-type: none"> • GEDSI-based factors are often neglected in national frameworks (Output 1.5). SHIELD may encounter difficulty in integrating GEDSI-related parameters with the GPH-initiated plans, policies, and frameworks as providing a GEDSI lens in methodology, planning and rationalization is not yet mainstreamed in the country (Output 2.3). • Cultural barriers may be encountered in implementing GEDSI-related resilience activities in the BARMM region (Output 2.6). • Training of women in context specific DRRM and peace building strategies is one of the potential areas of support to the BARMM Government. However, the existing armed conflict, political turmoil and social unrest in the target areas including Marawi and island provinces of Basilan, Sulu and Tawi-Tawi may delay the capacity building program (Output 2.6). 	<ul style="list-style-type: none"> • Highlighting and empowering women in their role in the resilient value chain (Output 1.8). Local MSPs will be composed of various sectors including GEDSI and community representatives who will then be supported by the SHIELD consortium (Output 1.2) • Promoting diversity in representation through the MSPs for Resilient Development Policy Advocacy (Output 2.2) • Integrating interventions for women, children, seniors, and other vulnerable groups in the Public Service Continuity Plans. • Investments geared towards addressing the requirements of women and marginalized sectors in the context of climate and disaster risk resilience (Output 2.5).
<p>Risk 9: Grievances, complaints, and feedback from potentially affected stakeholders</p> <p><u>Triggered:</u> P.14 Would the project potentially involve or lead to grievances or</p>	<p>I = 2 L = 3</p>	<p style="text-align: center;">Low</p>	<ul style="list-style-type: none"> • Risks associated with data sharing and privacy may trigger grievances or objections from affected stakeholders (Output 1.4). • Grievances, feedback, and complaints from beneficiary communities or target sites and 	<ul style="list-style-type: none"> • Developing a communication plan, monitoring and evaluation. • Developing a stakeholder response and grievance mechanism. • Documentation of responses and reporting of lessons learned.

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
objections from potentially affected stakeholders?			potential issues raised by various key partners during the implementation phase. <ul style="list-style-type: none"> Misunderstanding and communication failure brought about by the volume of involved agencies, organizations, and partners. 	<ul style="list-style-type: none"> Multi-sectoral approach to response.
<p><i>Risk 10:</i> Involvement of areas or localities subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami, or volcanic eruptions.</p> <p><u>Triggered:</u> S.2.1 Would the project potentially involve or lead to areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?</p> <p><i>Risk 11:</i> Involvement leading to outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters.</p> <p><u>Triggered:</u> S.2.2 Would the project potentially involve or lead to outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?</p> <p><i>Risk 12:</i> Increased vulnerability to climate change impacts or disaster risks.</p>	I = 3 L = 4	Moderate	<ul style="list-style-type: none"> SHIELD target sites located in low-lying areas and hazard-prone areas may experience simultaneous disasters. Due to the climate change crisis, stronger and more frequent weather events may disrupt on-the-ground operations of SHIELD and exacerbate the vulnerability and poverty condition of the households in the SHIELD target sites. Double whammy effect may also be experienced as the challenges on pandemic add up to other hazards and risks. Resources may not be sufficient to address the compounding impacts of climate change in particular places. 	<ul style="list-style-type: none"> Support the LGUs’ surge capacity Develop a program continuity plan in case of any unforeseen events Leverage on MSPs, program resources, and network Pilot of framework and plans in the sub-national level

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
<p><u>Triggered:</u> S.2.3 Would the project potentially involve or lead to increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?</p>				
<p>Risk 13: Interventions may aggravate existing inequality. Cultural and societal norms may be in-conflict with certain aspects of the program.</p> <p><u>Triggered:</u> S.2.3 Would the project potentially involve or lead to 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)</p>	I = 3 L = 3	Moderate	<ul style="list-style-type: none"> • The difference in cultural background and political views may serve as barrier or pose constraints in implementing the initiatives at the BARMM region. Geopolitical and socio-cultural profile of BARMM poses inequality in terms of gender and accessibility to resources (Output 2.6). • Cultural barriers may be encountered in implementing GEDSI-related resilience activities in the BARMM region (Output 2.6). • Geographical and regional nuances may cause misunderstanding during planning, consultation, decision-making and implementation of SHIELD across the target sites. 	<ul style="list-style-type: none"> • Conduct of GEDSI analysis and training. • Conduct of baseline research on cultural and GEDSI-related aspects and communities of the SHIELD target sites. • Surveys on knowledge and perceptions. • Developing a stakeholder grievance and feedback mechanism.
	QUESTION 4: What is the overall project risk categorization?			
			Low Risk	<input type="checkbox"/>
			Moderate Risk	<input checked="" type="checkbox"/>
				Majority of the risks are associated with government capacity, lack of disaggregated data, data privacy and sharing issues, and

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
					financial and technical resource allocation for continuity.
				Substantial Risk <input type="checkbox"/>	
				High Risk <input type="checkbox"/>	
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					
			<input type="checkbox"/>	<i>Note: The type of assessment will only be determined as specific activities are identified by the stakeholders during the implementation stage.</i>	Status? (completed, planned)
		<i>if yes, indicate overall type and status</i>	<input type="checkbox"/>	Targeted assessment(s)	Not required
			<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	Not required
			<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	Not required
		Are management plans required? (check if “yes”)	<input type="checkbox"/>	Recommended plans are specific to the risks identified in this matrix	
		<i>If yes, indicate overall type</i>	<input type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, , others)	Planned

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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		
				<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	Planned
				<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)	Planned
Based on identified risks, which Principles/Project-level Standards triggered?				Comments (not required)		
Overarching Principles						
P.1 Leave No One Behind			<input type="checkbox"/>	The SHIELD program will encapsulate inclusion, equality, and accessibility of data in its design and implementation, as explained in Part A. Programming Principles.		
P.2 Human Rights			<input type="checkbox"/>	Capacity of the government will be enhanced to delivery of social and basic services and resources, thus contributing to resilience development and prosperity, especially to the vulnerable and marginalized groups.		
P.3 Gender Equality and Women’s Empowerment			<input type="checkbox"/>	GEDSI requirements are part of the program design, planning, consultations, program implementation, and monitoring.		
P.4 Accountability			<input type="checkbox"/>	The program highlights data inclusion, equality through data accessibility, and anticipates potential grievances and complaints from stakeholders, especially in the development of the data ecosystem platform and financial instrumentations.		
Project-Level Standards						

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Identified risks complement the “yes” answers to the SESP Checklist.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks?			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
	1. Biodiversity Conservation and Sustainable Natural Resource Management		<input type="checkbox"/>	The project has no impact on biodiversity nor result in resource competition.
	2. Climate Change and Disaster Risks		<input checked="" type="checkbox"/>	The project is designed to build community resilience against the impacts of climate change and improve the government’s preparedness and response to disasters.
	3. Community Health, Safety and Security		<input checked="" type="checkbox"/>	The project has a positive benefit of improving the communities’ health, safety, and securing their future the devastating impacts of climate change and other disasters through enhanced climate adaptation and mitigation measures, enhancement of resilience frameworks, indices and models, capacity building, and financial instrumentations that would improve national and local preparedness, mitigation, response, and recovery.
	4. Cultural Heritage		<input type="checkbox"/>	The project has no impact on cultural heritage.
	5. Displacement and Resettlement		<input type="checkbox"/>	The project will not result to issues on displacement and resettlement.
	6. Indigenous Peoples		<input type="checkbox"/>	The project has no impact on indigenous peoples.
	7. Labour and Working Conditions		<input type="checkbox"/>	The project will not result in poor labor and working conditions.
	8. Pollution Prevention and Resource Efficiency		<input type="checkbox"/>	The project will not result in increase in pollution and resource competition.

02

Environmental and Social Management Framework

2.1 Environmental and Social Management Framework

The Environmental and Social Management Framework (ESMF) sets the foundation in screening and assessing activities and outputs under SHIELD for potential risks and impacts of the downstream implementation of the policies, plans, and programmes even if they remain unidentified yet until the later stages of the project cycle. This tool is embedded on the UNDP SES overarching principles and project-level standards as well as the national laws and guidelines reflecting the social and environmental context, risks, and impacts.

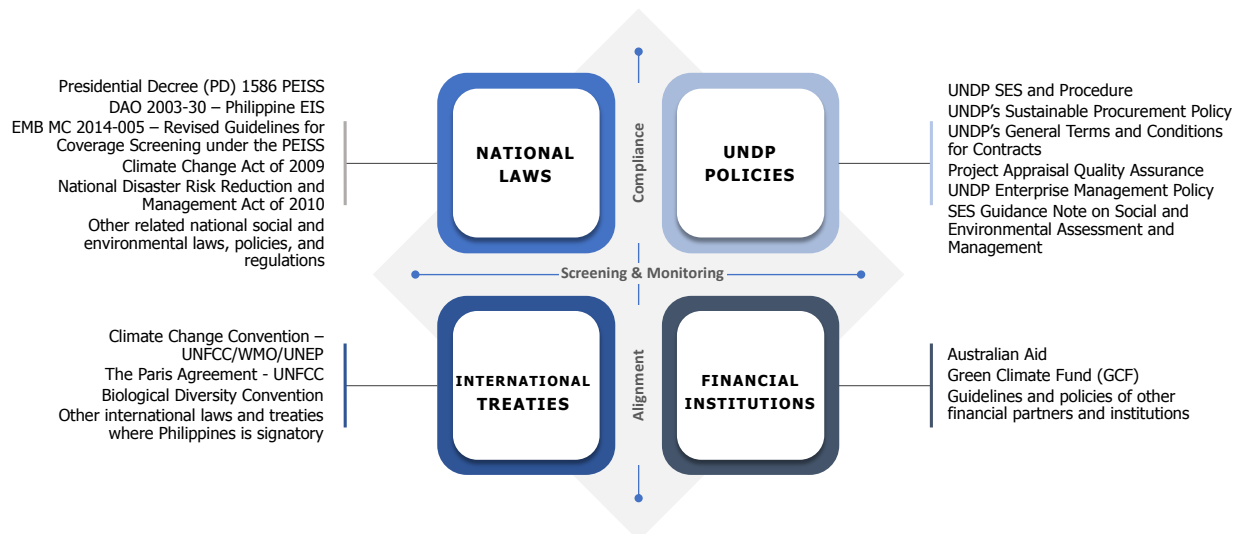
The ESMF has been developed for the following key objectives:

- Provide the tool and basis for integrating social and environmental context into the SHIELD Program
- Assess the potential impacts and risks of the activities on the environment and communities being served by the program, allowing the formulation of management controls and plans to mitigate any adverse impacts
- Provide the assessment and management measures to address activities and projects posing Moderate to High Risks.

2.1.1 Legal and Institutional Framework

The ESMF is grounded on the four components of the legal and institutional framework: (1) national laws, policies, and regulations; (2) UNDP guidelines including the SES Procedure; (3) international treaties where the Philippines is signatory; and (4) funding and screening guidelines of financial partners, if any. These four corners serve as the basis of compliance, alignment, screening and monitoring of the activities during the implementation phase of SHIELD.

Activities under the three components of SHIELD will be screened based on the relevant legislation and organizational procedures to surface the potential risks on environment and societies and develop a management plan to mitigate them. The framework reflects the social and environmental context of the program and supports the reinforcement of sustainability and resilience from the national to local scale.



Compliance with the national and international requirements ensure that the projects are socially and environmentally sound and aligns with the sustainability and resilience objectives of the SHIELD Program.

A. National Laws, Policies, and Regulations

The national social and environmental legislation encompasses the republic acts, department orders, memorandum circulars and other issuances of respective national government agencies.

Proposed assessment and management plans will be aligned with the Philippine Environmental Impact Statement System (PEISS), particularly the following Department of Environment and Natural Resources (DENR) administrative orders and memorandum circulars:

- Presidential Decree (PD) 1586 PEISS, issued in 1978

- DENR Administrative Order 2003-30 (DAO 2003-30) – Implementing Rules and Regulations of Presidential Decree 1586 (Establishing Environmental Impact Statement System)
- EMB Memorandum Circular 2014-005 (EMB-MC 2014-005) – Revised Guidelines for Coverage Screening and Standardized Requirements under the PEISS

B. UNDP Guidelines and Principles

Proposed activities for each component must adhere with the following applicable UNDP guidelines and principles:

- **UNDP SES and Procedure**– considers the sustainable development goals (SDGs) under the programming principles, project-level Standards 1 to 8, and components of the Social and Environmental Management System.

Programming Principles	Description*
(1) Leave no one behind	Overarching programming principle that recognizes and prioritizes the situation of the marginalized, discriminated and excluded, empowering them as active agents of the development process.
(2) Human rights	Recognizing the centrality of human rights to sustainable development, poverty alleviation, sustaining peace and ensuring fair distribution of development opportunities and benefits.
(3) Gender equality and women's empowerment	Promotion of gender equality and the empowerment of women by advocating for women's and girls' human rights, combating discriminatory practices, and challenging the roles and stereotypes that create inequalities and exclusion.
(4) Sustainability and resilience	Strengthening the resilience of societies to the impact of shocks, disasters, conflict and emergency situations, and the sustainable management, conservation, and rehabilitation of natural habitats (and their associated biodiversity and ecosystem functions).
(5) Accountability	Compliance with national and international laws and obligations, and promotion of accountability to programme and project stakeholders by (i) enabling active local community engagement and participation; (ii) ensuring transparency of programming interventions; (iii) ensuring stakeholders have access to rights-compatible complaints redress processes and mechanisms; and (iv) ensuring effective monitoring.
Project-Level Standard	Description
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Conserving biodiversity, maintaining ecosystem services, and sustainably managing natural resources.
Standard 2: Climate Change and Disaster Risks	Integration of disaster and climate risk concerns into national and sectoral development plans; advancing low-emission and risk-informed development pathways; identification of priority disaster risk reduction, risk governance, climate mitigation and adaptation measures; and implementation of measures to reduce exposure and vulnerabilities.
Standard 3: Community Health, Safety and Security	Minimizing risks and impacts to community health, safety and security that may arise from project-related activities, with particular attention given to disadvantaged and marginalized groups.
Standard 4: Cultural Heritage	Preservation, protection, and promotion of Cultural Heritage in a manner consistent with UNESCO Cultural Heritage conventions or any other national or international legal instruments.
Standard 5: Displacement and Resettlement	Physical and economic displacement, including through land acquisition or restrictions on land use or access to resources.

Standard 6: Indigenous Peoples	Promotion and protection of the rights of indigenous peoples, especially concerning their lands, territories, resources, traditional livelihoods, tangible and intangible Cultural Heritage.
Standard 7: Labour and Working Conditions	Protection of workers' fundamental rights, fair treatment, and the provision of safe and healthy working conditions.
Standard 8: Pollution Prevention and Resource Efficiency	Minimizing adverse impacts on human health, sustainable use of resources, emission reduction, minimizing generation of hazardous and non-hazardous substances and wastes, and promotion of safe, effective, environmentally sound pest management.

*UNDP SES Policy

- **UNDP's Sustainable Procurement Policy** – seeks to environmental, social, and economic considerations in the procurement process whenever possible.
- **UNDP's General Terms and Conditions for Contracts** – stipulates the project's compliance with the UNDP SES as a requirement or condition.
- **Project Appraisal Quality Assurance** – projects are screened at each stage of the project spanning the seven quality criteria: (1) strategic, (2) relevant, (3) principled, (4) management and monitoring, (5) efficient, (6) effective, and (7) sustainability and national ownership.
- **UNDP Enterprise Management Policy** – determined Moderate, Substantial and High-Risk activities are reflected in the project risk registry, ensuring alignment with the SES.
- **SES Guidance Note on Social and Environmental Assessment and Management** - guides the conduct of further complete social and environment assessment after the initial screening and provides recommendations on the needed management and mitigation plans to address the significant risks and potential impacts.

C. International Treaties

Philippines is a signatory to various environmental and social international commitment and treaties. SHIELD aims to align with the objectives and targets of the country in pursuing these treaties:

- Climate Change Convention – UNFCCC/WMO/UNEP
- The Paris Agreement - UNFCCC
- Biological Diversity Convention
- Other current international laws and treaties

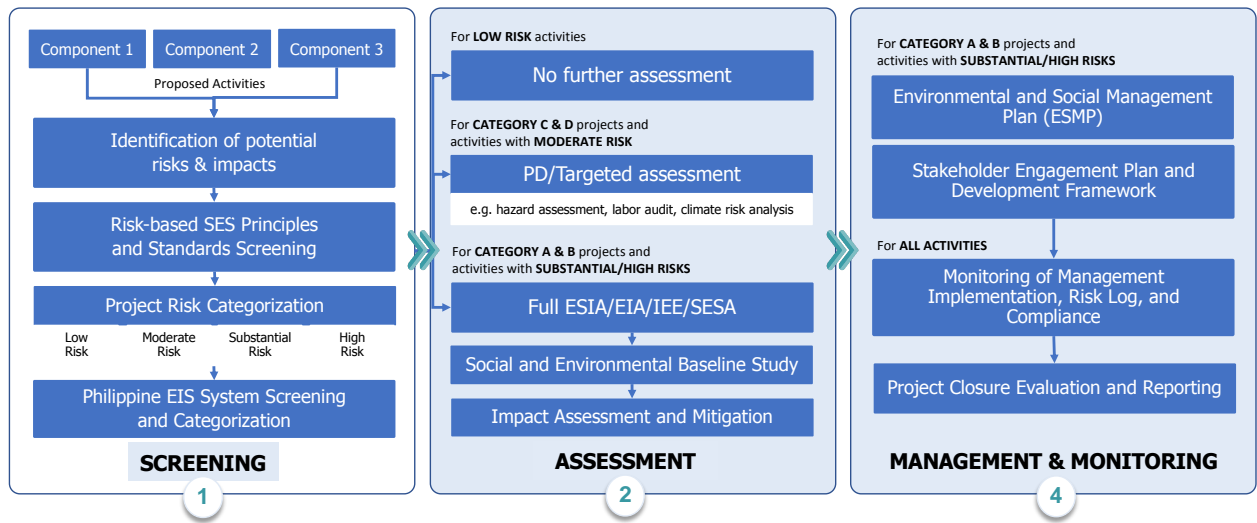
D. Funding and Institutional Partners' Guidelines

If SHIELD partners with additional funding institutions, the activities of SHIELD including its financial platform would adhere to the environmental and social guidelines of the financing partners, if any.

2.1.2 Procedures for screening, assessment, and management

Identified projects, programs and activities are further evaluated for conformance to the UNDP principles and social and environmental regulations during the ideation phase and across the project implementation, monitoring and closure phases. SHIELD proposes the ESMF which exhibits the screening, assessment, and management and mitigation process which aims to capture the environmental and social considerations into the project planning and design.

Note that the screening, assessment, and management might occur at different stages of the project. Stakeholder engagement and consultations cut across the three stages.



A. Screening

Proposed activities under Components 1 to 3 are screened using the SES Procedure to identify any foreseen risks and impacts on the environment and communities. Risk-based approach surfaces the alignment of the proposed activities with the UNDP programming principles and eight project-level standards. Proposals are then categorized as Low, Moderate, Substantial and High Risks. Identified moderate to high risk-projects form the SHIELD program risk register for monitoring purposes.

Initial screening based on the Philippine EIS System (PEISS) project categorization are performed if applicable, with Category A projects having the most significant adverse and irreversible impact and Category D with almost nil or no adverse effects.

The UNDP risk-based categorization and PEISS project classification are provided in the consecutive tables below for guidance.

Overall Rating Scale	Overall Risk Significant Level
Low	Do not Further analysis or treatment not required
Moderate	Require risk analysis scaled to the scope and nature of the risks with risk treatment and monitoring measures in place and budgeted.
Substantial	Require risk analysis scaled to the scope and nature of the risks with risk treatment and monitoring measures in place and budgeted. Require more detailed risk analysis and risk management plans.
High	Require escalation and thorough risk analysis with extra control mechanisms and frequent monitoring.

For the national classification of activities for assessment, the categories are distinguished based on the type of project, location, scale, and magnitude of social and environmental impacts.

Project Category	Description
Category A	Projects or undertakings are classified as Environmentally Critical Projects (ECP) under Presidential Proclamation No. 2146 (1981), Proclamation No. 803 (1996) and any other projects that may be later be declared as such by the President of the Philippines; resource extractive having adverse impacts to the environment; Environmental Impact Assessment (EIA) is required.
Category B	Projects or undertakings not classified as ECP under Category A, but may deemed to significantly affect the quality of the environment by virtue of being located in Environmentally Critical Area (ECA) (e.g. near a protected area, forest) as declared under Proclamation 2146 and according to the parameters set forth in EMB-MC 2014-005; either EIA or Initial Environmental Examination (IEE) is required depending on the type, scale, and magnitude of the proposed project.

Project Category	Description
Category C	Projects or undertakings not falling under Category A and B which are intended to directly enhance the environment or directly address existing environmental problems; majority are renewable and enhancement projects requiring an IEE or Certificate of Non-Coverage (CNC) depending on the scale and magnitude of the impacts.
Category D	Projects or undertakings that are deemed unlikely to cause significant adverse impact on the quality of the environment according to the parameters set forth in the Screening Guidelines; projects exempted from securing an ECC; requires a Project Description (PD) for CNC application.

Source: DAO 2003-30 and EMB-MC 2014-005

At this stage, the project management team formalizes the participation of the key stakeholders through the development of an engagement plan and conduct of early consultations through validation workshops. The screening phase ensures that risks including the adverse impacts are recognized and communicated to the stakeholders to aid in the planning and design stage of the component activities, thus maximizing the potential and benefits.

Exemptions to the Screening Process

Activities or projects that may be deemed exempted from the screening process as stipulated in the UNDP SES Policy include the following:

- a. where UNDP serves as Administrative Agent
- b. preparation and dissemination of reports, documents, and communication materials
- c. organization of an event, workshop, training
- d. strengthening capacities of partners to participate in international negotiations and conferences
- e. partnership coordination (including UN coordination) and management of networks
- f. global/regional projects with no country level activities (e.g. knowledge management, intergovernmental processes).

Source: SESP

B. Assessment

Low risk activities which include upstream activities of capacity building, planning and policy support to SHIELD no longer need further assessment. As for activities categorized as Category C and D under the national classification for EIS and have moderate risks may require a targeted form of assessment depending on the type of risk involved. These may range from hazard assessment and labor audit for labor-intensive activities; safety and hazard plan for travels to target sites; and climate risk analysis for mitigation and adaptation proposals. Downstream activities under Categories C and D may require a small-scale assessment such as IEE or an overview of the project description. Specialists may refer to the PEISS regulations for the initial categorization and confirmation with the EMB-DENR after. Samples of Category C projects in the Philippine context include environmental enhancement proposals such as small-scale renewable power generation, while Category D projects cover mild-risk construction of buildings in a built-up area. There might also cases when an activity/project is exempted from the EIS requirements, thus only a Certificate of Non-Coverage (CNC) is completed.

Category A and B projects have the potential to adversely affect the environment and communities under the Philippine screening guidelines, with the latter causing less impacts by virtue of its proximity to a protected area (see Table x). The conduct of a comprehensive assessment in the form of EIA is required for SHIELD activities or initiatives classified as Category A projects. For Category B projects, a toned-down assessment through an IEE Checklist may be required depending on the type, scale, and extent of impact. Under the SES Policy, these activities may possibly exhibit substantial to high environmental and social risks.

The ESIA is the international version of EIA which may be required by funding institutions if SHIELD partners with them for the financial platform within the implementation phase. The ESIA based on the IFC standards has a more stringent approach and extensive assessment of the environmental and social environment. Both the national EIA and ESIA entail an environmental and social baseline study, including impact assessment, recommendations for mitigation measures, and stakeholder consultations.

Table summarizes the possible types of assessment needed for each category based on the UNDP SES Policy and national EIA requirements.

C. Management and Monitoring

Risks categorized as moderate, substantial, and high significance require continuous monitoring during the implementation phase to ensure proper management and mitigation. An Environmental and Social Management Plan (ESMP) is prepared to cover all activities and projects with substantial and high risks based on UNDP SES Procedure and classified as Category and B by the PEISS. As for Category C and D projects having moderate risks, management controls and monitoring are conducted using the project risk register log.

To ensure the inclusive participation of key stakeholders, a stakeholder engagement plan is drafted together with a stakeholder map and a development framework. A multi-sectoral approach with the involvement of the vulnerable and marginalized groups would be ensured in the development of a Stakeholder Engagement Plan and Social Development Framework, including the incorporation of GEDSI requirements.

The cycle of monitoring is critical to ensure alignment with the SHIELD Program requirements and UNDP SES Policy, implementation of management controls and mitigation measures, and compliance with the national regulations on environmental and social safeguards. A social and environmental monitoring plan would be prepared and made accessible to the SHIELD partners, which covers the risks and mitigation measures for moderate to high risks; monitoring parameters and standards for compliance; success indicators; monitoring costs; and lead persons and orgs. The progress of the project in terms of addressing risks including any additional risks that would surface during the implementation phase would be integrated in the reporting of SHIELD and communicated to the key stakeholders during a workshop. Monitoring would be done all throughout the program life, with the results consolidated on an annual basis and captured in the lessons learned of the yearend evaluation and project closure.

Monitoring	Reporting	Frequency	Reference	Lead
Monitoring of moderate to high risks in the Project Risk Register Log	Social and Environmental Monitoring Plan and Reporting matrix	Quarterly	Risk Enterprise Management SES Programming Principles & Project-Level Standards	SHIELD Program Management Team
Monitoring of Environmental & Social Management Plan (ESMP), for Category A and B projects (with substantial to high risks)	Environmental & Social Management and Monitoring Report	Quarterly	Baseline ESIA/EIA/SESA Environmental and Social Guidelines and Standards	SHIELD Program Assurance SHIELD Program Management Team
Stakeholder Grievance	To be captured in the monitoring matrix and report	As necessary	SHIELD Stakeholder and Response Mechanism based on UNDP Grievance Redress Mechanism	SHIELD Program Management Team

Table x summarizes the risk and impacts and the corresponding recommendations on (1) form, extent, and scope of the social and environmental review; (2) types of assessments; (3) required management, mitigation, and monitoring plans; and (4) reporting mechanism.

	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

	Low	Moderate		Substantial	High
Assessment	-	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	-	Incorporate management measures into ProDoc	Targeted management 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
Monitoring	-	Project risk register log	Project risk register log	Social and Environmental Monitoring Plan tracks the implementation of ESMP based on ECC conditions	Social and Environmental Monitoring Plan tracks the implementation of ESMP based on ECC conditions
Reporting	-	Quarterly monitoring plan matrix	Quarterly monitoring plan matrix	Quarterly monitoring plan matrix Management and monitoring report annexed to Project SHIELD annual report	Quarterly monitoring plan matrix Management and monitoring report annexed to Project SHIELD annual report

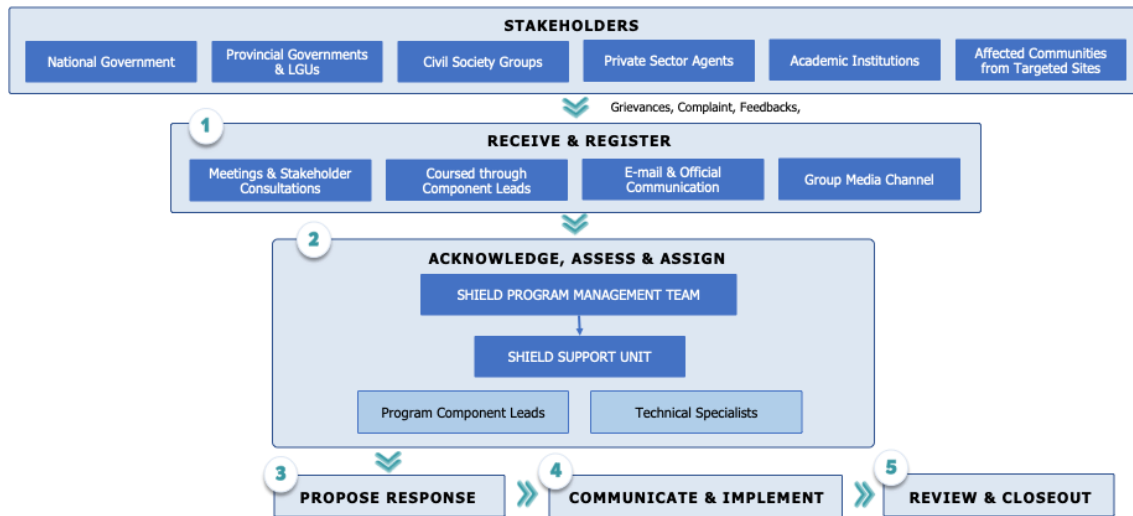
ESIA = Environmental and Social Impact Assessment
 SESA = Strategic Environmental and Social Assessment
 ESMP = Environmental and Social Management Plan
 ESMF = Environmental and Social Management Framework
 ECC = Environmental Compliance Certificate

2.2 Stakeholder Engagement and Response Mechanisms

Developing a stakeholder engagement and response mechanism ensures that all relevant and significant feedback, complaints, and grievance on the impacts of SHIELD policies, programs, and operations on external stakeholders. This grievance redress and accountability mechanism (GRM) intends to promote an accessible, collaborative, and effective platform in resolving concerns through dialogue and negotiation.

The proposed GRM has been developed based on the requirements specified in the UNDP Supplemental Guidance on Grievance Redress Mechanism and Accountability.

Figure below presents the proposed Stakeholder Engagement and Response Mechanism.



2.2.1 Key Stakeholders

Beneficiary cities, municipalities, and communities in the 12 SHIELD sites composed of the 10 provinces and two main regions serve as the main stakeholders of SHIELD. The GRM shall provide special attention to the feedback and concerns of the vulnerable and marginalized groups from these target areas.

Island Group	Provinces
Luzon	(1) Albay (2) Pampanga (3) Pangasinan (4) Quezon
Visayas	(5) Cebu (6) Eastern Samar (7) Northern Samar
Mindanao	(8) Agusan del Norte (9) Agusan del Sur (10) Davao Oriental
Special Regions	
Special Regions	(1) Metro Manila (2) Bangsamoro Autonomous Region in Muslim Mindanao (BARMM)

Other actors and key players in the resilience value chain, but which are not part of the internal partners of SHIELD Program, include the national and local government agencies and units, academic institutions through state universities and colleges, civil society, private sector, affected multi-sectoral groups, vulnerable and marginalized groups.

2.2.2 Feedback, Grievance and Response Mechanism

The feedback and response mechanism involves the participation of MSPs and partners. The process provides light to the implementation of SHIELD program components and

- a. **Receive and Register** – Feedback, comments, suggestions, and complaints from stakeholders other than the concerns raised during the consultations, workshops, and meetings may be registered in an online form and coursed through the following communication platforms:
 - UNDP’s G-HUBS and the NRC’s Local Resilience Councils
 - Communication tools such as phone call, text messages, and official messages via email
 - Communication to MSPs and Component Leads
 - Group social media and communications channel such as Facebook group, Messenger, Whatsapp, Telegram and others SHIELD Management Team.

- b. Acknowledge, Assess and Assign** – Registered feedback, grievances, and complaints are opened and consolidated by the SHIELD Program Management Team. Each feedback would be assessed if a response or resolution needs to be provided, including the level of prioritization and turnaround time for the response. With the help of the SHIELD Support Unit, feedbacks would be delegated to the responsible parties – (1) program component leads for discussion with their respective teams, and (2) technical specialists. The GEDSI specialist would ensure inclusivity through the participation of women including the vulnerable and marginalized sectors in the deliberation and response.
- c. Propose response** - After the consultation and discussion, agreed responses are reviewed by the SHIELD Program Management Team and SHIELD Consortium consisting of panel experts for validity check, conformance to the UNDP SES Grievance Redress Mechanisms, and alignment with the SHIELD Program targets and requirements.

The Monitoring and Evaluation (M&E) Specialist qualifies the response or action for each feedback as:

- Approved for implementation and adoption
- Good to be communicated back to the stakeholders
- Requires further assessment and consultation
- Invalid, ineligible, or only needs clarification

Further assessment and investigation may be deemed necessary if the issue is not resolved by the team, if the concern requires additional information, and if other stakeholders need to be involved for its resolution. Investigation would be carried out by the SHIELD Support Unit.

- d. Communicate and implement** – The SHIELD Program Management Team issues an official response to the feedback, grievance, or complaint within one week's time unless further assessment or consultation is needed.
- e. Review and closeout** – Once the stakeholders are satisfied with no further queries, the item is closed out in the GRM registry and archived for future reference. Answered feedback, actions taken, and changes implemented in response to the grievance including the lessons learned are documented and included in the yearend reporting.



03

Social and Environmental Appraisal, Categorization, and Screening of Bankable Proposals

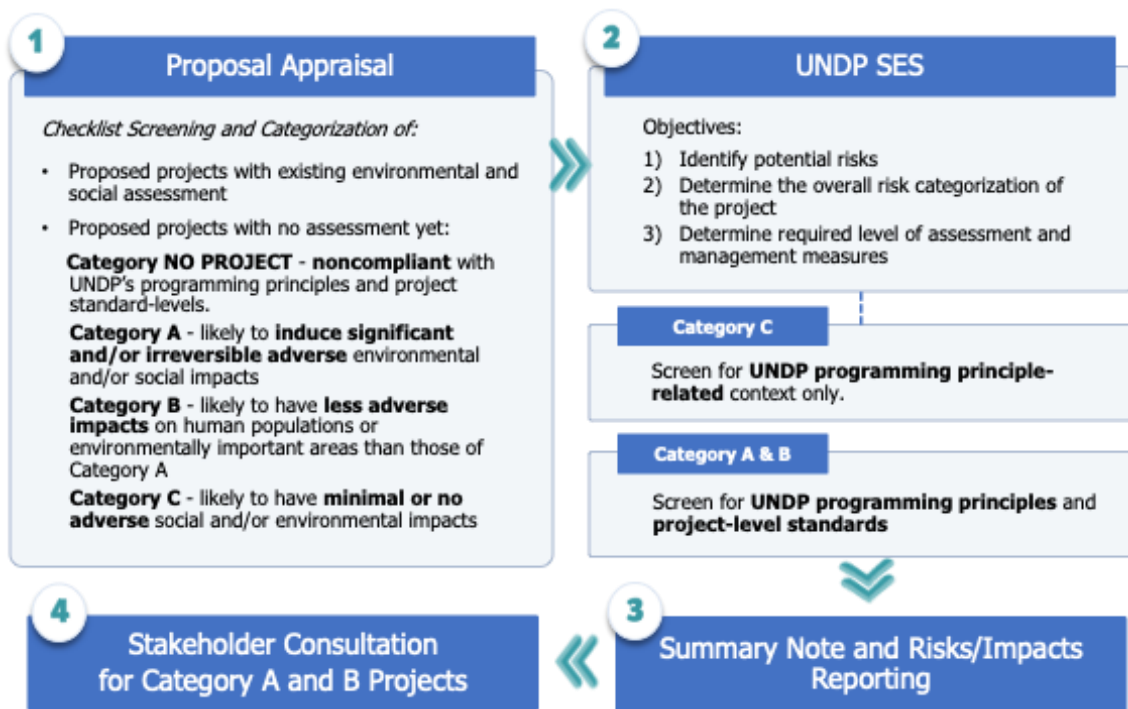
3.0 Social and Environmental Appraisal, Categorization, and Screening of Bankable Proposals

As a result of the resilience planning and ideation at the sub-national level (Output 1.5), identified specific programs, projects, and activities (PPAs) would form part of the bankable proposals (Output 1.6) for funding. The SHIELD consortium will lead the environmental and social screening of these LGU-led and local MSP-initiated projects to ensure alignment with the UNDP Programming Principles and Standard-Level Standards, and compliance with the national laws, regulations, and policies.

Key objectives of the proposal screening are as follows:

- Proposed project’s alignment with the resilience outcomes and objectives of SHIELD Program.
- Proposed project’s conformance with the UNDP programming principles and social and environmental standards.
- Categorization, screening, identification of the potential social and environmental risks and impacts of the bankable proposals, and recommendations for the next steps including the apt mitigation and management measures and plans.

For screening bankable proposals for the financial pipeline, the following framework provides an overview of the mechanism.



3.1 Proposal Appraisal and Screening

Proposals are assessed and categorized based on the level of potential impact on the scale of the activities and extent of impact on the environment and communities, including any foreseen indirect long-term risks.

Proposals will be categorized according to the following:

Category NO PROJECT	The proposed project is non-compliant with UNDP’s programming principles and project standard-levels. Further discussions, alternative design, and reassessment of the project is required.
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Category A	The proposed project is likely to induce significant and/or irreversible adverse environmental and/or social impacts that are sensitive, diverse, or unprecedented. A full ESIA/EIA and EMP will need to be completed during Project Formulation.
Category B	The proposed project is likely to have less adverse impacts on human populations or environmentally important areas than those of Category A projects. Likely impacts will be few in number, site-specific, and few if any will be irreversible. An IEE in the local setting and ESMP will need to be completed during Project Formulation.
Category C	The proposed project is likely to have minimal or no adverse social and/or environmental impacts. No further specific environmental and/or social assessment is required during Project Formulation, although those with procurement components may still have potential environmental and social sustainability considerations. These should be addressed as part of the regular project design activities and through UNDP's procurement processes, as applicable.

After the proposal appraisal (Part A), Category A, B, and C proposed projects will advance to the next stage, the social and environmental risk screening as required by the UNDP's SESP. Rating of Low to High will be noted for each identified risk, with the Moderate to High Risks recorded in the SHIELD project risk register.

The risk screening checklist will assist in screening Category A to C proposed projects. 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.

For Category C proposed projects, only the overarching principle and programming principle-related questions are required. As for Category A and B proposed projects, all questions on programming principles and project-level standards need to be completed.

3.2 Social and Environmental Summary Note

A summary is provided at the end of the process to guide the consortium and its partners in finalizing the bankable proposals for funding.

3.3 Stakeholder Consultations for A&B Projects

The impacts of Category A and B projects must be presented in a stakeholder consultation or validation workshop to seek the perspective of potentially affected communities and to gather potential social impacts of the projects. Results will also be captured in the summary note.

Successfully screened pipeline of bankable resilience proposals for the financing platform may leverage on the following funding opportunities:

Internal LGU Funds	External Funding Sources
<ul style="list-style-type: none"> • Local DRRM Fund (LDRRMF) • Local Development Fund (LDF) • LGU resources in specific offices for social, environmental, and infrastructure development and agriculture • Local Development Fund • Special funds (e.g. for special education, early childhood development, housing, GAD, and youth) 	<ul style="list-style-type: none"> • People's Survival Fund (PSF) • National DRRM Fund • Performance Challenge Fund (PCF) • Local Government Support Fund (LGSF) • Resources from the Municipal Development Fund Office (MDFO) • Green Climate Fund (GCF) • Global Environment Facility (GEF) trust fund • GPH Quick Response Fund • Resources for public housing and disaster insurance coverage • Potential private-public partnership (PPP)

Checklists for appraisal and screening (from Part A to Part D) are annexed to this report.

Annexes

Part A. Proposal Appraisal Checklist and Categorization

The following proposal appraisal checklist has been adopted from UNDP's previous Environmental and Social Checklist (2012) and current UNIDO and GCF Environmental and Social Screening template for proposals.

Question 1. Proposed projects with existing environmental and social assessment		Yes/No
<i>Context:</i> This question is relevant for cases when the LGU or MSP has advanced resilience projects that may have undergone a detailed environmental and social impact assessment. The purpose of the following question is to identify whether the existing assessment/documentation meets UNDP's SES requirements and Philippine Environmental Impact Statement System (PEISS).		Answer with Yes or No.
Question 1	Has a combined environmental and social impact assessment that covers the proposed project already been completed by the Sub-national partner (LGU), MSP, or other donor(s)?	
	<i>Notes:</i> <ul style="list-style-type: none"> • If YES, continue answering Table 1.1. • If NO, continue with Question 2 and undertake the necessary steps to complete the screening process to assign an appropriate UNIDO project category. 	
Table 1.1 Quality Assurance of Existing Environmental and Social Assessment		Yes/No
1.	Does the assessment/review meet its TOR, both procedurally and substantively?	
2.	Does the assessment/review provide a satisfactory assessment of the proposed project?	
3.	Does the assessment/review contain the information required for decision-making?	
4.	Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures to be clarified during project preparation and implementation stages)?	
5.	Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	
6.	Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	
	<i>Notes:</i> <ul style="list-style-type: none"> • If any of the questions in Table 1.1 result in a NO, continue with Question 2 to assign an appropriate category (Category NO PROJECT, A, B, or C) to the project. • If all the questions in Table 1.1 result in a YES, no further environmental and social review is required. Skip the questions and undertake the following steps: <ol style="list-style-type: none"> 1. Ensure that the project concept note/document incorporates the recommendations made in the National Partner/Project Execution Partner's or the donor's environmental and social review. 2. Summarize the relevant information contained in the National Partner/Project Execution Partner's or donor's environmental and social review in the E&S Summary Note of this Screening Template, selecting the appropriate UNIDO Category (Category NO PROJECT, A, B, or C), following the recommendations from the initial assessment. 3. Attach this E&S Screening Checklist and the E&S Summary Note, to the project concept. 	

Question 2. Determining 'Category NO PROJECT'		Yes/No
<i>Context:</i> The purpose of the following question is to identify whether the proposed project should be identified as a Category NO PROJECT, as it proposes project components or propose scenarios, which are not in line with the UNDP SES principles and standards.		Answer with Yes or No.
Question 2	Does the proposed intervention support any of the following?	
2.1	Conversion or degradation of natural habitat or critical habitat	
2.2	Does the assessment/review provide a satisfactory assessment of the proposed project?	
2.3	Manufacture, trade, and/or use of hazardous chemicals and/or materials subject to international action bans or phase-outs	
2.4	Application of pesticides that have a known negative effect on the environment or human health and have been banned by international conventions/agreements	

Question 2. Determining 'Category NO PROJECT'		Yes/No
2.5	Involuntary resettlement of populations	
2.6	Alteration, damage or removal of any physical and cultural heritage resources and/or sites	
	Notes: <ul style="list-style-type: none"> • If NO, proceed with Question 3. • If YES, the proposed project will be categorized as "Category NO PROJECT". It is non-compliant with UNDP SES programming principles and standard levels. Further discussions and alternative design of the project is required for the project to be reassessed. 	

Question 3. Determining 'Category A' proposed projects		Yes/No
<i>Context:</i>	The purpose of the following question is to identify whether the proposed project should be identified as a Category A , as it is <i>likely to induce significant and/or irreversible adverse environmental and/or social impacts</i> that are sensitive, diverse, or unprecedented. A full ESIA and ESMP will need to be completed during Project Formulation phase.	<i>Answer with Yes or No.</i>
Question 3	Does the proposed project contain any of the following aspects?	
3.1	Construction of new dams of height above 15 meters .	
3.2	Large-scale energy production and distribution facilities (e.g. wind power installations for energy production (wind farms), concentrated solar power stations).	
3.3	Resource recovery facilities (e.g. extraction of petroleum and natural gas for commercial purposes, processing of metal ores or coal etc.).	
3.4	Installations for storage of petroleum, petrochemical, chemical products or construction of pipelines , terminals and associated facilities for the large-scale transport of gas, oil and chemicals.	
3.5	Large-scale infrastructure (construction and/or expansion); new roads of four or more lanes; realignment and/or widening of existing roads to provide four or more lanes of 10 km or more in a continuous length.	
3.6	Large-scale sea and river ports and inland waterways and ports for inland waterway traffic; trading ports, piers for loading and unloading connected to land, and outside ports (excluding ferry piers).	
3.7	Establishing and/or relocating industrial zones, parks , etc.	
3.8	Large-scale primary agriculture or forestation, reforestation, or afforestation involving intensification, land use change or conversion of natural habitats, and use of mangroves and wetlands projects.	
3.9	Large-scale forest industry operations (e.g. logging, commercial harvesting of tree plantations, sawmills operations, or pulp and paper production mills with a production capacity exceeding 200 air-dried metric tonnes per day).	
3.10	Large-scale installations for the intensive rearing of poultry or livestock .	
3.11	Large-scale agro-industry .	
3.12	Large-scale aquaculture and mariculture (e.g. commercial scale industrial fishing operations).	
3.13	Plants for the tanning of hides and skins where the treatment capacity exceeds 12 tonnes of finished products per day.	
3.14	Municipal wastewater treatment plants with a capacity exceeding 150,000 population equivalent.	
3.15	Municipal solid waste processing and disposal facilities.	
3.16	Investments into 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.	
3.16	Involving indigenous people .	
3.17	Involving voluntary resettlement of populations .	
	Notes: <ul style="list-style-type: none"> • If NO, proceed with Question 4. 	

Question 3. Determining 'Category A' proposed projects		Yes/No
	<ul style="list-style-type: none"> • If YES, the proposed project will be categorized as "Category A". Conduct the following steps to complete the screening process: <ol style="list-style-type: none"> 1. Complete the UNDP E&S Screening Checklist and the E&S Summary Note. Select "Category A". 2. Attach the completed E&S Screening Checklist and the E&S Summary Note to the SHIELD project concept. 	

Question 4. Determining 'Category A' proposed projects		Yes/No
<i>Context:</i>	The purpose of the following question is to identify whether the proposed project should be identified as a Category B , as it is likely to have less adverse impacts on human populations or environmentally important areas than those of Category A projects. Likely impacts will be few in number, site-specific, and few if any will be irreversible. An ESMP will need to be completed during Project Formulation phase.	<i>Answer with Yes or No.</i>
Question 4	Does the proposed project fit within any of the following areas?	
4.1	Energy efficiency and energy conservation demonstration (e.g. projects involving transfer and deployment of pilot- level energy efficiency machinery, technology, etc., which serve as a basis for future replication and scale-up).	
4.2	Renewable energy demonstration , and associated access feed/access road infrastructure (e.g. projects involving transfer and deployment of pilot-level renewable efficiency technology, such as wind turbines, solar panels, micro and small hydro power etc. for productive use, which serve as a basis for future replication and scale-up);	
4.3	Rural electrification (e.g. pilot demonstration of renewable energy technology with associated mini-grids, etc.).	
4.4	Limited bioenergy projects utilizing sustainably-produced biomass feedstock or appropriate waste materials (e.g. rice husks, sawdust, corncobs, etc.).	
4.5	Rehabilitation of dams of height up to and above 15 meters .	
4.6	Small- and medium-scale agro-industries .	
4.7	Small- and medium-scale irrigation and drainage .	
4.8	Small and medium-scale aquaculture , including small and medium-scale industrial and artisanal fisheries.	
4.9	Climate change adaptation .	
4.10	Small- and medium-scale reforestation/afforestation and forest industry operation .	
4.11	Small- and medium-scale rural water supply and sanitation .	
4.12	Waste-processing and disposal installations for the incineration, chemical treatment or landfill of (non-)hazardous, toxic or dangerous wastes.	
4.13	Inadvertent release of chemicals in the environment from unsatisfactory decontamination procedures	
4.14	Risks of intoxication when using chemicals for culling.	
4.15	Code of conduct on distribution, handling and use of culling chemicals , as well as pesticides to control vectors during any storage or transport prior to final disposal.	
	Notes: <ul style="list-style-type: none"> • If NO, proceed with Question 5. • If YES, the proposed project will be categorized as "Category B". Conduct the following steps to complete the screening process: <ol style="list-style-type: none"> 1. Complete the E&S Screening Checklist and the E&S Summary Note. Select "Category B". 2. Attach the completed E&S Screening Checklist and the E&S Summary Note to the SHIELD project concept. 	

Question 5. Determining 'Category C' proposed projects		Yes/No
<i>Context:</i>	<i>Context: The purpose of the following question is to identify whether the proposed project should be identified as a Category C, as it is likely to have minimal or no adverse social and/or environmental impacts (e.g. studies, policy inventory work, awareness raising activities). Beyond screening, no further specific environmental and/or social assessment is required for a Category C project.</i>	<i>Answer with Yes or No.</i>
Question 5	Does the project interventions fall within any of the following categories?	

Question 5. Determining 'Category C' proposed projects		Yes/No
5.1	Report and/or inventory preparation;	
5.2	Education and training	
5.3	Event coordination	
5.4	Environmental and sustainable development analysis;	
5.5	Monitoring and evaluation exercises;	
5.6	Desk studies, workshops, meetings;	
5.7	Scientific research and field surveys;	
5.8	Research and extension in agriculture, forestry, fisheries, natural resource management	
5.9	Remote sensing and geospatial analysis;	
5.10	Capacity development, communication and outreach programs;	
5.11	Enabling Activities (e.g. preparation of NIP-Updates under the Stockholm Convention, etc.)	
5.12	Maintenance and upgrading of installations;	
5.13	Integration of new industrial management systems within existing facilities (e.g. environmentally sound management systems, etc.); and,	
5.14	Institutional development.	
	<p>Notes:</p> <ul style="list-style-type: none"> • If NO, return to Questions 2-4, to re-assess the project risk Category. If you are unsure, consult the SHIELD Consortium • If YES, the proposed project will be categorized as "Category C". No further environmental and social review required. Attach this E&S Screening Checklist and the completed E&S Summary Note to the SHIELD project concept. 	

Part B. SESP Social and Environmental Risk Checklist

The risk screening checklist will assist in screening Category A to C proposed projects. 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.

For Category C proposed projects, only the overarching principle and programming principle-related questions are required. As for Category A and B proposed projects, all questions on programming principles and project-level standards need to be completed.

Potential Social and Environmental Risks Checklist		
Overarching Principle: Leave No One Behind		Answer (Yes/No)
Human Rights		
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?	
<i>Would the project potentially involve or lead to:</i>		
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? ⁵	
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)?	
<i>Would the project potentially involve or lead to:</i>		
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? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	
P.12	exacerbation of risks of gender-based violence? <i>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.</i>	
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
<i>Would the project potentially involve or lead to:</i>		
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?	

⁵ 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.

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		
<i>Would the project potentially involve or lead to:</i>		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
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? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	
1.12	handling or utilization of genetically modified organisms/living modified organisms? ⁶	
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ⁷	
1.14	adverse transboundary or global environmental concerns?	
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
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? <i>For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes</i>	
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)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
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)?	

⁶ See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

⁷ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

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		
<i>Would the project potentially involve or lead to:</i>		
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		
<i>Would the project potentially involve or lead to:</i>		
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? ⁸	
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		
<i>Would the project potentially involve or lead to:</i>		
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)? <i>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</i>	
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? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	
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?	

⁸ 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.

6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
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?	
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
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? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention</i>	
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?	

Part C. UNDP Social and Environmental Screening

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

Integrating Programming Principles to Strengthen Social and Environmental Sustainability

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

Identifying and Managing Social and Environmental Risks

What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			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?																
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: right;">Low Risk</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td style="text-align: right;">Moderate Risk</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td style="text-align: right;">Substantial Risk</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td style="text-align: right;">High Risk</td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> </table>					Low Risk	<input type="checkbox"/>		Moderate Risk	<input type="checkbox"/>		Substantial Risk	<input type="checkbox"/>		High Risk	<input type="checkbox"/>	
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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																
<u>Is assessment required? (check if "yes")</u>		<input type="checkbox"/>		Status? (completed, planned)												
<i>if yes, indicate overall type and status</i>		<input type="checkbox"/>	Targeted assessment(s)													
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	<i>If yes, indicate overall type</i>		<input type="checkbox"/> Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
			<input type="checkbox"/> ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			<input type="checkbox"/> ESMF (Environmental and Social Management Framework)	

Part D. Social and Environmental Summary Note

This summary note is to be filled out after the SES Checklist and Screening have been accomplished.

Project Information

Project Information	
1. Name of the proposed project:	
2. Project Number (i.e. Atlas project ID, PIMS+)	
3. Location (Global/Region/Country)	
4. SHIELD Program Outcome being addressed:	
5. Name and role of the submitter:	
6. Agency/Organization of the submitter:	
7. Date submitted	

Proposed Project Categorization

Proposal Appraisal Outcome	Description
Select from the following:	
<input type="checkbox"/> Category NO PROJECT	The proposed project is non-compliant with UBDP's programming principles and project standard-levels. Further discussions, alternative design, and reassessment of the project is required.
<input type="checkbox"/> Category A	The proposed project is likely to induce significant and/or irreversible adverse environmental and/or social impacts that are sensitive, diverse, or unprecedented. A full ESIA and EMP will need to be completed during Project Formulation.
<input type="checkbox"/> Category B	The proposed project is likely to have less adverse impacts on human populations or environmentally important areas than those of Category A projects. Likely impacts will be few in number, site-specific, and few if any will be irreversible. An ESMP will need to be completed during Project Formulation.
<input type="checkbox"/> Category C	The proposed project is likely to have minimal or no adverse social and/or environmental impacts. No further specific environmental and/or social assessment is required during Project Formulation, although those with procurement components may still have potential environmental and social sustainability considerations. These should be addressed as part of the regular project design activities and through UNIDO's procurement processes, as applicable.

National Project Classification

Initial project categorization anchored on the Philippine Environmental Impact Statement System (PEISS) is based on the type of project, location, scale, and magnitude of social and environmental impacts. Check the category based on initial discussions and consultation with an expert, with DAO 2003-30 and EMB-MC 2014-005 as the guidelines.

Determine the type of assessment depending on the identified project category for the proposal.

Proposed Project Category	Description
<input type="checkbox"/> Category A	Projects or undertakings are classified as Environmentally Critical Projects (ECP) under Presidential Proclamation No. 2146 (1981), Proclamation No. 803 (1996) and any other projects that may be later be declared as such by the President of the Philippines; resource extractive having adverse impacts to the environment; Environmental Impact Assessment (EIA) is required.
<input type="checkbox"/> Category B	Projects or undertakings not classified as ECP under Category A, but may deemed to significantly affect the quality of the environment by virtue of being located in Environmentally Critical Area (ECA) (e.g. near a protected area, forest)

Proposed Project Category	Description
	as declared under Proclamation 2146 and according to the parameters set forth in EMB-MC 2014-005; either EIA or Initial Environmental Examination (IEE) is required depending on the type, scale, and magnitude of the proposed project.
<input type="checkbox"/> Category C	Projects or undertakings not falling under Category A and B which are intended to directly enhance the environment or directly address existing environmental problems; majority are renewable and enhancement projects requiring an IEE or Certificate of Non-Coverage (CNC) depending on the scale and magnitude of the impacts.
<input type="checkbox"/> Category D	Projects or undertakings that are deemed unlikely to cause significant adverse impact on the quality of the environment according to the parameters set forth in the Screening Guidelines; projects exempted from securing an ECC; requires a Project Description (PD) for CNC application.
<i>Indicate the required type of local environmental and social assessment (e.g. EIS, IEE, PD):</i>	
Type of Assessment	

Social and Environmental Risks and Impacts Summary

UNDP SES	Potential Risks and Impacts	Mitigation and Management Plans
Principle 1: Leave No One Behind Human Rights		
Principle 2: Human Rights		
Principle 2: Gender Equality and Women's Empowerment		
Principle 3: Sustainability and Resilience		
Principle 4: Accountability		
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		

*In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. This information will inform the development of TOR for ESIA or ESMPs.

**In this section, you should summarize how you intend to proceed with undertaking either ESIA (for Category A projects) or ESMP and IEE (for Category B projects), during Project Formulation.

Submitted By	Reviewed and Approved By:
--------------	---------------------------

(Signature over Printed Name and Designation, Organization)	(Signature over Printed Name and Designation, Organization)
Date:	Date:

Social and Environmental Screening Template (2021 SESP Template, Version 1)

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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?
<i>Briefly describe in the space below how the project mainstreams the human rights-based approach</i>
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Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 5</i>			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High												
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			<i>If yes, indicate overall type</i>	<input type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)
				<input type="checkbox"/>	ESMP (Environmental and Social Management Plan which may include range of targeted plans)
				<input type="checkbox"/>	ESMF (Environmental and Social Management Framework)
			Based on identified risks, which Principles/Project-level Standards triggered?		Comments (not required)
			Overarching Principle: Leave No One Behind		
			Human Rights	<input type="checkbox"/>	
			Gender Equality and Women's Empowerment	<input type="checkbox"/>	
			Accountability	<input type="checkbox"/>	
			1. Biodiversity Conservation and Sustainable Natural Resource Management	<input type="checkbox"/>	
			2. Climate Change and Disaster Risks	<input type="checkbox"/>	
			3. Community Health, Safety and Security	<input type="checkbox"/>	
			4. Cultural Heritage	<input type="checkbox"/>	
			5. Displacement and Resettlement	<input type="checkbox"/>	
			6. Indigenous Peoples	<input type="checkbox"/>	
			7. Labour and Working Conditions	<input type="checkbox"/>	

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	8. Pollution Prevention and Resource Efficiency			<input type="checkbox"/>

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.

Certificate Of Completion

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Certificate Pages: 2	Initials: 0
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Enveloped Stamping: Enabled	Gwyneth Anne Palmos
Time Zone: (UTC-08:00) Pacific Time (US & Canada)	One United Nations Plaza
	New York, NY 10017
	gwyneth.anne.palmos@undp.org
	IP Address: 197.232.51.147

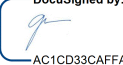
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gwyneth.anne.palmos@undp.org
Programme Analyst
UNDP
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Signature

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edwine.carrie@undp.org
Deputy Resident Representative
UNDP Headquarters
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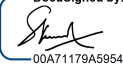
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Selva Ramachandran
selva.ramachandran@undp.org
Resident Representative
UNDP Sudan
Security Level: Email, Account Authentication (None)

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<p>Floradema Eleazar floradema.eleazar@undp.org Team Leader, Climate Action Programme UNDP Headquarters Security Level: Email, Account Authentication (None)</p> <p>Electronic Record and Signature Disclosure: Not Offered via DocuSign</p>	COPIED	Sent: 12/30/2022 3:44:05 PM
<p>Maria Victoria De Guzman maria.victoria.de.guzman@undp.org Programme Manager Security Level: Email, Account Authentication (None)</p> <p>Electronic Record and Signature Disclosure: Not Offered via DocuSign</p>	COPIED	Sent: 12/30/2022 3:44:08 PM
<p>Paul Villarico paul.villarico@undp.org Project Associate UNDP Headquarters Security Level: Email, Account Authentication (None)</p> <p>Electronic Record and Signature Disclosure: Not Offered via DocuSign</p>	COPIED	Sent: 12/30/2022 3:44:10 PM Viewed: 1/10/2023 6:15:46 PM
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Notary Events	Signature	Timestamp
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