# Annex 1. Social and Environmental Screening Template

*The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.*

**Project Information**

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| ***Project Information***  |  |
| 1. Project Title
 | Promoting Carbon Reduction Through Energy Efficiency (EE) Techniques in Baghdad City |
| 1. Project Number (i.e. Atlas project ID, PIMS+)
 | UNDP-GEF PIMS ID number: 6487, project Number: 00128406 |
| 1. Location (Global/Region/Country)
 | Iraq |
| 1. Project stage (Design or Implementation)
 | Design |
| 1. Date
 | 12/02/2021 |

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

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| **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 project aims to integrate the UNDP Overarching Principles through efforts in advocating policy change in the EE building sector in Iraq that considers the human rights approach and support the Government of Iraq in upholding their international commitment towards respecting, protecting and fulfilling the human rights. The project will pay great attention towards the potential of highlighting human rights and encouraging change throughout the project lifetime, through engaging in a participatory approach that takes all stakeholders’ concerns into account. Successful implementation of the project will reduce household energy needs and thus their related costs, thereby increasing equitability in energy availability and access. This will contribute to improving the economic situation of Iraqi families and to their general wellbeing and therefore to Article 25 of the Universal Declaration of Human Rights which states that Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family. Through increased access to lower cost energy, the Project will also support the inherent dignity of the human person (preamble) referred to in the preamble of the International Covenant of Economic and Social and Cultural Rights. Through engaging all potential project stakeholders, including marginalized and poor communities, and ensuring their contribution to the Project’s decision-making process will also respect the people’s right of self-determination (Article 1.1) of this covenant and steer the country towards access to energy for all.* |
| ***Briefly describe in the space below how the project is likely to improve gender equality and women’s empowerment*** |
| *Focus will be given towards gender equality and women’s empowerment through aiming towards equal representation of women and men in the project steering committee in addition to encouraging women participation in all project activities. Awareness events will invite women and NGOs working with women to reach out to as many women as possible. Women in Iraq are disproportionately affected by lack of energy, their daily life becomes more difficult with lack of energy i.e. when it comes to providing water, clean water, cooking and even lighting their homes for everyday work during dark hours. A Gender Action Plan has therefore been prepared for the project and includes the following measures that will be implemented by the project:** *Encourage national partners to ensure women’s participation and their equal and active participation ensured in all project-related events including consultation processes, workshops and informative events, at the level of at least 30% of total participants, with special focus on young women professionals in the field of engineering, including university students and academics. This includes primarily the awareness raising activities regarding construction and retrofitting of buildings, as well as end-users of electricity in buildings, on EE regulation and best practices.*
* *Whenever possible, data collected throughout the duration of the project will be disaggregated by age and gender, including participants in events and project activities as well as monitoring and evaluation of the developed knowledge management framework on EE in the building sector in Baghdad.*
* *Capacity of all stakeholders including the project team and government partners will be increased on gender equality and the UNFCCC gender action plan.*
* *Ensure women representation within staff of the planned Energy Efficiency Center, and to be provided with adequate technical training to meet job requirements.*
* *Ensure equal representation for men and women in activities related to capacity development in building codes and standards and technical knowledge in the EE buildings sector.*

*As stated in the Gender Action Plan, all project activities will be aligned with the UNDP Gender Equality Strategy (2018-2021), which was prepared in conjunction with the UNDP Strategic Plan and is operationalized in parallel with it. UNDP’s Gender Equality Strategy highlights the pivotal signiﬁcance of gender equality and women’s empowerment and reaffirms that sustainable human development will not be fully achieved unless women and girls are able to contribute on an equal basis with men and boys to their societies. The outcome of the project will thus contribute to* ***SDG 5: Achieve gender equality and empower all women and girls.*** |
| ***Briefly describe in the space below how the project mainstreams sustainability and resilience*** |
| *EE is directly linked to environmental sustainability and the project will highlight the importance of EE in utilizing energy. Achieving same living standard can be accomplished with less energy and in turn mitigate the emissions related to the energy supply and/or transmission. Project stakeholders will be exposed to the importance of environmental sustainability and how it is linked to EE in addition to gaps and barriers that currently exist in Iraq and how to overcome them.**EE is widely mentioned in the Intended Nationally Determined Contribution (INDC) of Iraq in many sectors including electricity, oil, industry, building, agriculture etc. Furthermore, EE is a focal area in the Initial National Communication to the UNFCCC mainly on energy conservation. International Energy Agency (IEA) released an energy outlook for Iraq in 2019 “Iraq’s Energy Sector” where EE is clearly stated as a priority that needs to be focused on before the supply side for energy. The report also states that “In addition to conservation and efficiency, efforts should be made to free up available supply for the most critical uses. Wherever possible, consumers should be encouraged to shift non-essential demand away from peak hours, enabling more households to have cooling during the hottest periods of the day. This may require campaigns to increase consumer awareness of energy efficient equipment and the potential reductions of their electricity bills.” Closing the energy gap through EE rather than increasing the supply side through fossil fueled energy sources will have great impact on environmental sustainability.**The project will thus contribute to several SDGs including:** ***SDG 7: Ensure access to affordable, reliable, sustainable and modern energy for all*** *by introducing a variety of innovative EE technologies, developing effective EE policies and regulations, and providing incentive measures and new financing schemes to promote EE buildings investments.*
* ***SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable*** *through the implementation of EE measures that will secure the energy system and impact both environmental and economic sustainability.*
* ***SDG 13: Take urgent action to combat climate change and its impacts*** *through reducing GHG emissions due to the introduction of climate-responsive building techniques, promoting the use of energy-saving devices, reducing the use of fossil fuel, raising awareness on the impact of the energy sector on climate change and the long-term benefits of energy efficient devices, and amendments to sector policies and regulations to reflect on climate change risks*

*This project is also consistent with the GEF-7 strategy to address climate change (CCM- Program 1 Promote innovation and technology transfer for sustainable energy breakthroughs), especially the Entry point 3 on accelerating energy efficiency adoption (CCM-1-3).* |
| ***Briefly describe in the space below how the project strengthens accountability to stakeholders*** |
| *Through adoption of EE building regulations and guidelines, the Project will improve participation, transparency and accountability by providing clear guidelines for all stakeholders in the sector. It will also support stakeholder participation in preparation of these legislations and guidelines by solicitating feedback from various relevant sectors including the private sector and local community. This is highlighted in the project’s Stakeholder Engagement Plan. The project will also strengthen the networking of stakeholders interested in the EE, so that they push for better government accountability on its decisions in this field. The project will also empower experts in the field by giving strengthening their capacities through the demonstration project and training workshops. The Project Board will also ensure that the project’s Grievance Redress Mechanism is in place, accessible to the public and to project stakeholders and that all grievances are addressed in a timely and acceptable manner in line with the UNDP SES. UNDP’s Accountability Mechanism, which includes the Social and Environmental Compliance Review (SECU) and Stakeholder Response Mechanism (SRM) will also serve as an additional layer of grievance redress and empower stakeholders to push for accountability.*  |

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

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| **QUESTION 2: What are the Potential Social and Environmental Risks?** *Note: Complete SESP Attachment 1 before responding to Question 2.* | **QUESTION 3: What is the level of significance of the potential social and environmental risks?***Note: Respond to Questions 4 and 5below before proceeding to Question 5* | **QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**  |
| ***Risk Description******(broken down by event, cause, impact)*** | ***Impact and Likelihood (1-5)*** | ***Significance*** ***(Low, Moderate Substantial, High)*** | ***Comments (optional)*** | ***Description of assessment and management measures for risks rated as Moderate, Substantial or High***  |
| **Risk 1: Poor communities are economically affected by new EE requirements for buildings.****Related to:*** Human Rights; P.5
* Accountability; P.13, P.14
* Standard 5: Economic Displacement; 5.2
* Standard 6: Indigenous Peoples; 6.1, 6.6
 | I=3L=3 | Moderate | The introduction of new EE regulations may include new requirements for buildings in Iraq. Poor communities, including Indigenous Peoples, might be economically affected from implementation of these regulations through the need to use of expensive building materials, fixtures or equipment. | An Environmental and Social Management Framework (ESMF) has been prepared during the project preparation phase. This ESMF requires the preparation of a scoped Strategic Environmental and Social Assessment (SESA) that assesses the potential impact of the upstream activities including proposed legislations (Activity 1.1.4), operationalization of the National Energy Efficiency Action Plan (NEEAP) (Activity 1.2.1) and development of the Building Energy Efficiency Codes (BEEC) (Activity 2.1.1) and Minimum Energy Performance Standards (MEPS) (Activity 2.2.1) on poor and marginalized communities and recommend measures to eliminate or offset these impacts. As part of the SESA, a participatory process will be undertaken with potentially affected communities to ensure that the proposed regulations will not affect vulnerable groups. This process will also ensure that awareness is raised on cost savings from adopting EE measures. |
| **Risk 2:** **Limiting women’s opportunities to benefit from the proposed project** **Related to:*** Gender Equality and Women’s Empowerment; P.10
* Standard 7: Labour and Working Conditions; 7.5
 | I=3L=3 | Moderate | As determined by the Gender Analysis, women in Iraq are not well represented within the country’s working population. Their influence in policy making in the country is also limited. Therefore, their opportunities to benefit from the project may be limited by restricting or prohibiting them from engaging in the policy and decision making or in the design and management of new EE plans. The project will also create new green jobs and will conduct training and awareness campaigns. Women may not be well represented in these activities and may not receive the training and awareness raising offered. | A Gender Analysis and Gender Action Plan have been developed during project preparation. Measures to reduce the risk of discrimination against women include:* Maximize participation of female in decision and policy making
* Project staff undertaking efforts to ensure equal participation and engagement of women and men in the planning, implementation and monitoring of proposed project
* Designate a specific percentage for women engagment in new green jobs and training sessions
* Invite women and NGOs working with women to awareness events to reach out to as many women as possible

The SESA and ESIA/ESMP will also consider gender risks, and the GAP will be updated as needed based on those additional assessments.  |
| **Risk 3: Release of pollutants to the environment from the improper storage, transport and disposal of generated waste****Related to:*** Standard 1: Biodiversity and Natural Resource Management; 1.1, 1.7
* Standard 8: Pollution Prevention and Resources Efficiency; 8.1, 8.2, 8.3, 8.4
 | I=4L=3 | Substantial | The proposed project includes EE retrofitting activities in the selected EE center and in the building sector, as well as development of a of energy policies and standards that will lead to similar activities at a national scale. This will lead to the generation of waste from the replacement of non-EE existing building materials and fixtures. If not properly handled and disposed, pollutants and hazardous material (ex. mercury in CFLs and FLs) can be released into the environment. The release of hazardous material into the environment might also occur resulting from improper handling and disposal of old AC units at the EE center that may contain already banned refrigerants. The improper disposal of such units leads to the leakage of ODSs. | The ESMF prepared for the project outlined the need for an ESIA/ESMP to ensure proper handling and disposal of non-EE material, appliances, and devices from the EEC (Activity 3.1.3); and SESA for proposed legislations (Activity 1.1.4), NEEAP (Activity 1.2.1), BEEC (Activity 2.1.1) and MEPS (Activity 2.2.1) . This includes the proper design and implementation of the EE retrofits that includes concerns on the disposal or recycling of existing building materials and devices/appliances such as old CFLs and FLs (containing mercury) and old energy inefficient AC units (containing banned refrigerants).The ESMP will include a Waste Management Plan that adopts best practices outlined in the Basel Convention and ICF International (2018) prepared for the USEPA-ODS Destruction in the United States and Abroad while the SESA will assess this issue at a national level following the same standards.The retrofits that will be carried out by BRESC (as co-financing to the GEF-financed project) are not within the project’s framework and therefore are not required to adhere to or be consistent with the UNDP SES. Given the project’s role in the future establishment of the EEC, its ESMF contains simple measures for those “area of influence” retrofits, which include exclusionary criteria (to be developed) and a template for an Environmental and Social Commitment Plan (ESCP).  |
| **Risk 4: Possible effects of climate change on the environment and living conditions in Iraq****Related to:*** Standard 2: Climate Change and Disaster Risks; 2.3
 | I = 2L = 4 | Moderate | Possible effects of climate change include:- Increase in ambient temperature, leading to prolonged heat waves, erratic precipitation, higher than average temperatures and increased disaster intensity. - Intense droughts, declining precipitation, desertification, salinization, and the increasing prevalence of dust storms may also be observed.  | Dedicating resources to enhance and promote EE in buildings is in line with Iraq’s overall mitigation strategy for climate change. The adoption of BEEC and MEPS for buildings is both, a mitigation measure by helping reduce energy consumption and the consequent GHG emissions, as well as an effective form of adaptation to some climate change impacts, by providing buildings that enhances the living conditions for residents and users. The developed BEEC will introduce passive design aspects and climate-responsive building techniques to reduce the effect of heat and reduce demand on energy for cooling, while the MEPS will promote the use of eco-friendly building material, appropriate to the specific location of the buildings constructed. Taking in consideration Iraq’s overall strategy towards mitigation and adaptation to climate change will also be part of the development of the regulatory and institutional framework through the SESA, especially since the project’s approach to policy and regulations is to focus on operationalization rather than adding new laws and legislations. Lastly, the project has an outcome for raising awareness and reaching out to practitioners and consumers with information on EE in buildings. The knowledge sharing will reflect the country-specific climate change risks and attempt to direct people towards seeking to reside in buildings that reduce energy demand and support a low-carbon economy. |
| **Risk 5: Potential health and safety risks to the local community from exposure to hazardous material****Related to:*** Standard 3: Community Health, Safety and Working Conditions; 3.5
 | I=3L=2 | Moderate | Community health and safety might be affected due to the improper transport, storage, and/or disposal of hazardous materials resulting from the replacement of non-EE items in the building sector during the retrofits that will be done in the demonstration project (EE center), and throughout Iraq as a result of adopting proposed EE regulations. | An ESMF that has been carried during project preparation states that an appropriately scoped ESIA/ESMP will be prepared before commencement of the retrofitting activities (Activity 3.1.3), addressing the risks associated with handling, disposal or recycling of existing building materials and devices/appliances such as old CFLs and FLs containing mercury, old and energy inefficient ACs). The ESMP, including a Waste Management Plan, will describe measures on safe handling, storage, and disposal of these hazardous material associated with the retrofitting activities. At the national level, an SESA conducted for the proposed legislations (Activity 1.1.4), NEEAP (Activity 1.2.1), BEEC (Activity 2.1.1) and MEPS (Activity 2.2.1)will ensure that this issue is addressed. |
| **Risk 6: Spread of communicable diseases such as COVID-19 among the population****Related to:*** Standard 3: Community Health, Safety and Working Conditions; 3.4
 | I=3L=3 | Moderate | There is a risk of an increased spread of communicable diseases such as Covid-19, especially during the current pandemic, among the population during awareness campaigns or training sessions and among workers dealing with EE retrofitting activities or general EE installations in the building sector. | To limit the spread of Covid-19, individuals involved in the project will abide by WHO guidelines and implement preventive measures related to[[1]](#footnote-1):* Hand hygiene and PPE will be provided by service providers
* Respiratory hygiene
* Physical distancing
* Reduce and manage work-related travel
* Regular environmental cleaning and disinfection
* Risk communication training and education
* Management of people with Covid-19 or their contacts
 |
| Risk 7: Inappropriate behavior by drivers of the security personnel engaged by the project**Related to:*** Standard 3: Community Health, Safety and Security; 3.8
 | I=3L=2 | **Moderate** | - | Prior to engagement of security personnel for the project, a Code of Conduct reflecting SES requirements will be prepared such that all security personnel must abide by them. Training will be offered to these personnel to ensure they are aware of their responsibilities. |
| Risk 8: Working conditions by the contractor selected for the project do not meet national or labour laws and international labour commitments **Related to:*** Standard 7: Labour and Working Conditions; 7.1, 7.2, 7.3, 7.5
 | I = 3L = 3 | **Moderate** | Workers at the construction site engaged in the project may be denied freedom of association and collective bargaining and exposed to discriminatory working conditions, include child labour and/or lack of equal opportunities. | Engagement of the private sector (in particular the contractor to be engaged in the retrofitting activities for Activity 3.1.3) will be preceded by a private sector risk assessment (supplemented by a SESP) to ensure compliance with SES. |
| **Risk 9: Occupational health and safety risks associated with the retrofitting activities****Related to:*** Standard 7: Safety and Working Conditions; 7.1, 7.6
 | I=3L=2 | Moderate | Workers at the retrofitting site of the EE Center may be exposed to several occupational health risks including injuries from falling from heights, accidents from moving machines, and exposure to chemicals including hazardous material from old non-energy equipment. This also applies at the national level during the upstream activities. | An ESMF that has been carried during project preparation states that an ESIA/ESMP will be prepared prior to commencement of retrofitting of the EEC (Activity 3.1.3) addressing associated occupational health and safety risks . The ESMP will include an Occupational Health and Safety Plan to ensure that workers are safe during the retrofitting activities. This will include conditions under which the use of PPE (safety hats and shoes, safety goggles, respiratory masks) is mandatory. It will ensure that first aid kits are available on site. For major injuries, emergency, primary and preventative care workers will have access to health facilities. The plan will also include the proper handling and disposal of old appliances and use of chemicals. In addition, the contractor that will be engaged to perform the retrofitting works will need to undergo a private sector risk assessment to ensure abidance by SES.At the national level, and as part of the SESA for the proposed legislations (Activity 1.1.4), NEEAP (Activity 1.2.1), BEEC (Activity 2.1.1) and MEPS (Activity 2.2.1)2), occupational health and safety considerations will be taken into account to ensure that workers are protected. |
|  | **QUESTION 4: What is the overall project risk categorization?**  |
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| ***Low Risk*** | **☐** |  |
| ***Moderate Risk*** | **☐** |  |
| ***Substantial Risk*** | **X** | Nine potentialrisks have been identified for this project, eight of which are assessed as MODERATE and one as SUBSTANTIAL. As a result, this project is rated overall as a SUBSTANTIAL Risk project. During the PPG, an ESMF, Stakeholder Engagement Plan and Gender Action Plan have been prepared to meet SES requirements. During project implementation, a SESA addressing potential socioeconomic impacts of upstream activities will be prepared, along with an ESMP that includes an Occupational Health and Safety Plan and a Waste Management Plan. In addition, the Contractor that will be engaged in the retrofitting activities will undergo a private sector risk assessment in line with UNDP requirements, which will include a SESP to ensure adherence to SES requirements. Co-financing, while not direct, has been addressed by the ESMF. |
| ***High Risk*** | **☐** |  |
|  | **QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)** |
| Question only required for Moderate, Substantial and High Risk projects  |
| ***Is assessment required? (check if “yes”)*** | **X** |  |  | ***Status? (completed, planned)*** |
| *if yes, indicate overall type and status* |  | **X** | Targeted assessment(s)  | Completed: Gender analysis; stakeholder analysis |
|  | **X** | ESIA (Environmental and Social Impact Assessment) | Planned for during implementation |
|  | **X** | SESA (Strategic Environmental and Social Assessment)  | Planned for during implementation |
| ***Are management plans required? (check if “yes)*** | **X** |  |  |
| *If yes, indicate overall type* |  | **X** | Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)  | Gender Action Plan; Stakeholder Engagement Plan (completed),  |
|  | **X** | ESMP (Environmental and Social Management Plan which may include range of targeted plans) | Planned for during implementation (including Occupational Health and Safety Plan and Waste Management Plan) |
|  | **X** | ESMF (Environmental and Social Management Framework) | Completed |
| ***Based on identified risks, which Principles/Project-level Standards triggered?*** |  | **Comments (not required)** |
| ***Overarching Principle: Leave No One Behind***  |  |  |
| ***Human Rights*** | **X** |  |
| ***Gender Equality and Women’s Empowerment*** | **X** |  |
| ***Accountability*** | **X** |  |
| ***1. Biodiversity Conservation and Sustainable Natural Resource Management*** | **X** |  |
| ***2. Climate Change and Disaster Risks*** | **X** |  |
| ***3. Community Health, Safety and Security*** | **X** |  |
| ***4. Cultural Heritage*** | **☐** |  |
| ***5. Displacement and Resettlement*** | **X** |  |
| ***6. Indigenous Peoples*** | **X** |  |
| ***7. Labour and Working Conditions*** | **X** |  |
| ***8. Pollution Prevention and Resource Efficiency*** | **X** |  |

**Final Sign Off**

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

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| ***Signature*** | ***Date*** | ***Description*** |
| QA AssessorNadheer Fazaa |  | 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 ApproverGhimar Deeb |  | 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 ChairZena Ali Ahmed |  | UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.  |

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

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| **Checklist Potential Social and Environmental Risks** |  |
| 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](https://info.undp.org/sites/bpps/ses_toolkit/default.aspx) for further guidance on addressing screening questions. |  |
| **Overarching Principle: Leave No One Behind****Human Rights** | **Answer (Yes/No)** |
| P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)? | *No* |
| 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? | *No* |
| P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights? | *No* |
| *Would the project potentially involve or lead to:* |  |
| P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups? | No |
| 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? [[2]](#footnote-2)  | Yes |
| 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? | No |
| P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| **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)? | No |
| *Would the project potentially involve or lead to:* |  |
| P.9 adverse impacts on gender equality and/or the situation of women and girls?  | *No* |
| P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits? | Yes |
| P.11 limitations on women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being* | No |
| P.12 exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*. | No |
| **Sustainability and Resilience:** Screeningquestions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below |  |
| **Accountability**  |  |
| *Would the project potentially involve or lead to:* |  |
| P.13 exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them? | Yes |
| P.14 grievances or objections from potentially affected stakeholders? | Yes |
| 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? | No |
| **Project-Level Standards** |  |
| **Standard 1: Biodiversity Conservation and Sustainable** [**Natural**](#SustNatResManGlossary) **Resource Management** |  |
| *Would the project potentially involve or lead to:* |  |
| 1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes* | Yes |
| 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? | No |
| 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) | No |
| 1.4 risks to endangered species (e.g. reduction, encroachment on habitat)? | No |
| 1.5 exacerbation of illegal wildlife trade? | No |
| 1.6 introduction of invasive alien species?  | No |
| 1.7 adverse impacts on soils? | Yes |
| 1.8 harvesting of natural forests, plantation development, or reforestation? | No |
| 1. 9 significant agricultural production?  | No |
| 1. 10 animal husbandry or harvesting of fish populations or other aquatic species? | No |
| 1.11 significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction* | No |
| 1.12 handling or utilization of genetically modified organisms/living modified organisms?[[3]](#footnote-3) | No |
| 1.13 utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[[4]](#footnote-4)  | No |
| 1.14 adverse transboundary or global environmental concerns? | No |
| **Standard 2: Climate Change and Disaster Risks** |  |
| *Would the potentially involve or lead to:* |  |
| 2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions? | No |
| 2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change?  *For example, through increased precipitation, drought, temperature, salinity, extreme events* | Yes |
| 2.3 direct or indirect increases in [vulnerability to climate change](#CCVulnerabilityGlossary) impacts or disasters now or in the future (also known as maladaptive practices)?*For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population’s vulnerability to climate change, specifically flooding* | No |
| 2.4 increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change? | No |
| **Standard 3: Community Health, Safety and Security** |  |
| *Would the potentially involve or lead to:* |  |
| 3.1 construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams) | No |
| 3.2 air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation? | No |
| 3.3 harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)? | No |
| 3.4 risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health? | Yes |
| 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)? | Yes |
| 3.6 adverse impacts on ecosystems and ecosystem services relevant to communities’ health (e.g. food, surface water purification, natural buffers from flooding)? | No |
| 3.7 influx of project workers to project areas? | No |
| 3.8 engagement of security personnel to protect facilities and property or to support project activities? | Yes |
| **Standard 4: Cultural Heritage** |  |
| *Would the project potentially involve or lead to:* |  |
| 4.1 activities adjacent to or within a Cultural Heritage site? | No |
| 4.2 significant excavations, demolitions, movement of earth, flooding or other environmental changes? | No |
| 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) | No |
| 4.4 alterations to landscapes and natural features with cultural significance? | No |
| 4.5 utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes? | No |
| **Standard 5: Displacement and Resettlement** |  |
| *Would the project potentially involve or lead to:* |  |
| 5.1 temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)? | No |
| 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)?  | Yes |
| 5.3 risk of forced evictions?[[5]](#footnote-5) | No |
| 5.4 impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?  | No |
| **Standard 6: Indigenous Peoples** |  |
| *Would the project potentially involve or lead to:*  |  |
| 6.1 areas where indigenous peoples are present (including project area of influence)? | Yes |
| 6.2 activities located on lands and territories claimed by indigenous peoples? | No |
| 6.3 impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk* | No |
| 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? | No |
| 6.5 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.6 forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above* | Yes |
| 6.7 adverse impacts on the development priorities of indigenous peoples as defined by them? | No |
| 6.8 risks to the physical and cultural survival of indigenous peoples? | No |
| 6.9 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?*Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.* | No |
| **Standard 7: Labour and Working Conditions**  |  |
| *Would the project potentially involve or lead to: (note: applies to project and contractor workers)* |  |
| 7.1 working conditions that do not meet national labour laws and international commitments? | Yes |
| 7.2 working conditions that may deny freedom of association and collective bargaining? | Yes |
| 7.3 use of child labour? | Yes |
| 7.4 use of forced labour? | No |
| 7.5 discriminatory working conditions and/or lack of equal opportunity? | Yes |
| 7.6 occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle? | Yes |
| **Standard 8: Pollution Prevention and Resource Efficiency** |  |
| *Would the project potentially involve or lead to:* |  |
| 8.1 the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or [transboundary impacts](#TransboundaryImpactsGlossary)?  | Yes |
| 8.2 the generation of waste (both hazardous and non-hazardous)? | Yes |
| 8.3 the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?  | Yes |
| 8.4 the use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the* [*Montreal Protocol*](http://ozone.unep.org/montreal-protocol-substances-deplete-ozone-layer/32506)*,* [*Minamata Convention*](http://www.mercuryconvention.org/)*,* [*Basel Convention*](http://www.basel.int/)*,* [*Rotterdam Convention*](http://www.pic.int/)*,* [*Stockholm Convention*](http://chm.pops.int/) | Yes |
| 8.5 the application of pesticides that may have a negative effect on the environment or human health? | No |
| 8.6 significant consumption of raw materials, energy, and/or water?  | No |

1. WHO (2020). Considerations for public health and social measures in the workplace in the context of COVID-19 (accessed at https://apps.who.int/iris/rest/bitstreams/1277575/retrieve) [↑](#footnote-ref-1)
2. 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. [↑](#footnote-ref-2)
3. See the [Convention on Biological Diversity](https://www.cbd.int/) and its [Cartagena Protocol on Biosafety](https://bch.cbd.int/protocol). [↑](#footnote-ref-3)
4. See the [Convention on Biological Diversity](https://www.cbd.int/) and its [Nagoya Protocol](https://www.cbd.int/abs/) on access and benefit sharing from use of genetic resources. [↑](#footnote-ref-4)
5. 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. [↑](#footnote-ref-5)