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SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE

UNDP partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves the quality of life for everyone. On the ground in more than 170 countries and territories, we offer global perspective and local insight to help empower lives and build resilient nations.

This procedure is a revision to UNDP's previous "Environmental and Social Screening Procedure" which came into effect in 2012. The procedure has been revised to align with UNDP's Social and Environmental Standards, effective 1 January 2015, and to respond to lessons learned from implementation of the previous screening procedure. The screening procedure was subsequently revised in March 2016 to reflect decisions of UNDP's Organizational Performance Group. Comments and questions can be sent to info.ses@undp.org.

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Acronyms

AWP   Annual Work Plan

BPPS   Bureau for Policy and Programme Support

CO   UNDP Country Office

CPAP   Country Programme Action Plan

DIM   Direct Implementation Modality

ESIA   Environmental and Social Impact Assessment

ESMF   Environmental and Social Management Framework

ESMP   Environmental and Social Management Plan

FPIC   Free Prior and Informed Consent

GHG   Greenhouse Gas

GRM   Grievance Redress Mechanism

HRBA   Human Rights-based Approach to Development Programming

LPAC   Local Project Appraisal Committee

NIM   National Implementation Modality

OAI   UNDP's Office of Audit and Investigations

PAC   Project Appraisal Committee

QA   Quality Assurance

RBx   Regional Bureaus

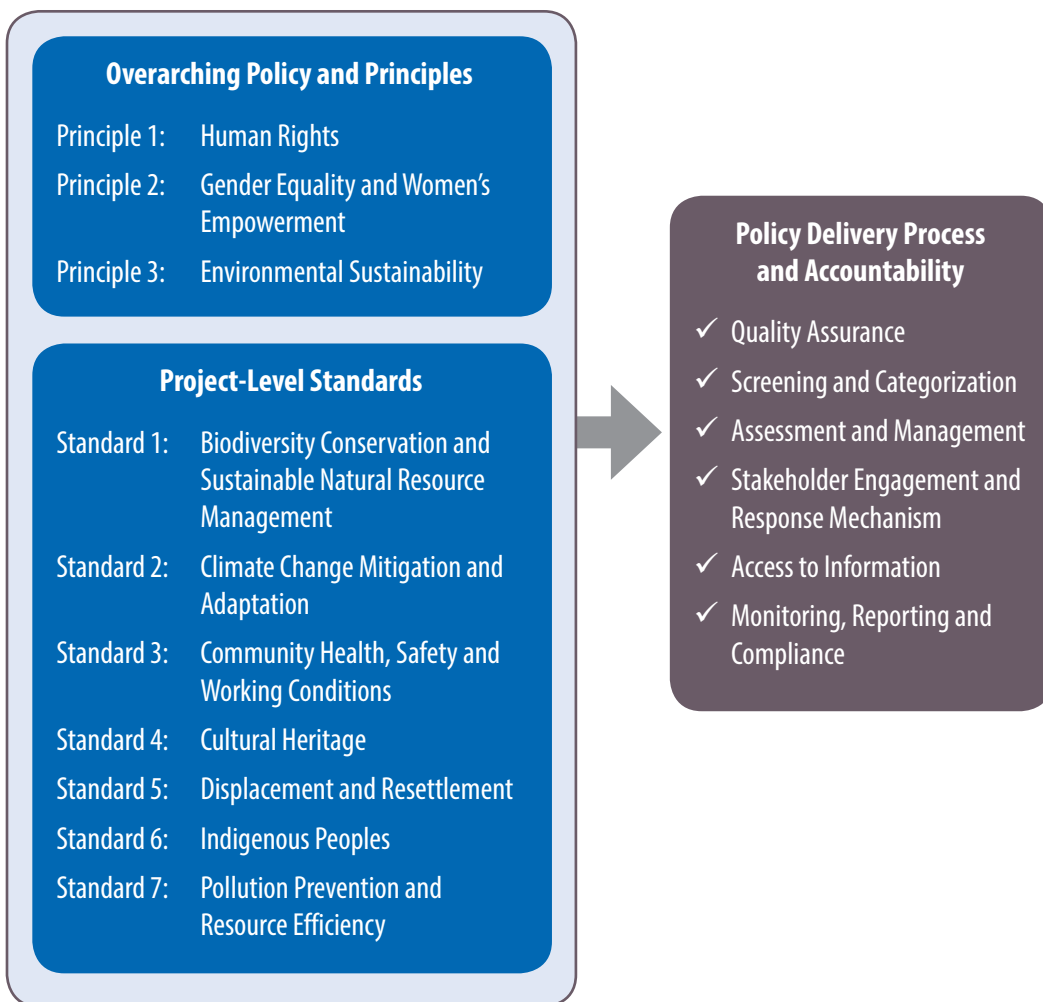SECU   Social and Environmental Compliance Unit

SES   Social and Environmental Standards

SESA   Strategic Environmental and Social Assessment

SESP   Social and Environmental Screening Procedure

SRM   Stakeholder Response Mechanism

UNDAF   United Nations Development Assistance Framework

UNDG   United Nations Development Group

UNDP   United Nations Development Programme

I. Introduction

1. Social and environmental sustainability are fundamental to the achievement of development outcomes and shall be systematically mainstreamed into UNDP's Programme and Project Management Cycles. UNDP's Social and Environmental Standards (SES)[1] underpin and demonstrate this commitment. The SES, as approved in June 2014 by UNDP's Organizational Performance Group and effective 1 January 2015, require that all UNDP Programmes and Projects enhance positive social and environmental opportunities and benefits as well as ensure that adverse social and environmental risks and impacts are avoided, minimized, and mitigated.

2. UNDP Programmes and Projects adhere to the objectives and requirements of the SES, which are to: (i) strengthen the social and environmental outcomes of Programmes and Projects; (ii) avoid adverse impacts to people and the environment; (iii) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (iv) strengthen UNDP and partner capacities for managing social and environmental risks; and (v) ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

3. UNDP's SES are comprised of several elements: the Overarching Policy and Principles, Project-Level Standards, and the Policy Delivery Process. An overview of key elements of the SES is presented below.

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1   http://www.undp.org/content/undp/en/home/librarypage/operations1/undp-social-and-environmental-standards/

Overarching Policy and Principles

Principle 1: Human Rights

Principle 2: Gender Equality and Women's Empowerment

Principle 3: Environmental Sustainability

Project-Level Standards

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

Standard 2: Climate Change Mitigation and Adaptation

Standard 3: Community Health, Safety and Working Conditions

Standard 4: Cultural Heritage

Standard 5: Displacement and Resettlement

Standard 6: Indigenous Peoples

Standard 7: Pollution Prevention and Resource Efficiency

Policy Delivery Process and Accountability

✓ Quality Assurance

✓ Screening and Categorization

✓ Assessment and Management

✓ Stakeholder Engagement and Response Mechanism

✓ Access to Information

✓ Monitoring, Reporting and Compliance

4. Screening and categorization of Projects is one of the key policy delivery requirements.[2] UNDP's Social and Environmental Screening Procedure (SESP) fulfills this requirement and provides policy guidance and tools to design and implement quality Projects and to address the requirements of UNDP's SES.

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

- integrate the SES Overarching Principles in order to strengthen social and environmental sustainability;

- identify potential social and environmental risks and their significance;

- determine the Project's risk category (Low, Moderate, High); and,

- determine the level of social and environmental assessment and management required to address potential risks and impacts.

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

II. Screening Requirements and Process

What Projects Must Be Screened?

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

7. Projects that consist solely of any of the following functions or activities will be exempt from the screening requirement:

    a. UNDP serves as Administrative Agent
    b. Preparation and dissemination of reports, documents and communication materials
    c. Organization of an event, workshop, training[3]
    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, inter-governmental processes)

8. Even without screening, however, UNDP's Social and Environmental Standards are relevant. For example, activities such as training and conferences should be designed to reflect application of human rights principles (i.e. participation and inclusion, equality and non-discrimination, accountability and rule of law), gender equality and women's empowerment, and environmental sustainability. UNDP applies the SES and the UNDG Country Programming Principles no matter the budget level or activity type.

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3   For information on best practices in organizing meetings and events in a sustainable manner, see the UNDP Green Meeting and the Sustainable Events Guides, available at http://www.greeningtheblue.org/resources/meetings.

9. Most UNDP Projects involve partners that contribute in-kind resources or parallel funding and apply their own policies and procedures to achieve common objectives. Therefore, while UNDP does not ensure compliance with the SES beyond those activities funded through UNDP's accounts, UNDP reviews the entire Project for consistency with the requirements of the SES.[4]

When Does Screening and Assessment Take Place?

10. The SESP should be used iteratively as a design and appraisal tool from the earliest stages of Project preparation. Pre-screening of the concept note and early drafts of the Project Document will help to ensure that social and environmental sustainability issues are considered and integrated into a Project's concept and design, enhancing the quality of the project. Early screening will help to anticipate how the SES Overarching Policy and Principles and, where relevant, the Project-level Standards may best be addressed in the Project's design.

11. As part of the pre-screening process, a pre-PAC meeting may be organized in order to discuss complex social and environmental issues, canvass internal experts for advice, and identify measures to prepare the Project for full appraisal. Project proposals to be submitted to funding partners and trust funds should also be pre-screened prior to submittal.

12. For Projects that are identified to have potential moderate to high social and environmental impacts some further social and environmental assessment should be conducted as part of Project preparation to inform design. In cases where further assessment requires some upfront investment during project design, the financial resources needed should be integrated into an Initiation Plan for the Project and submitted to a PAC (see para. 45).

13. In some cases assessments will need to be conducted during Project implemen-tation as a key output or activity. However, no activities that may cause adverse social and environmental impacts are to proceed until assessments and adoption of appropriate mitigation and management measures are completed. Activities that cannot proceed until completion of assessments should be clearly identified in the Project Document.

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

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4   All partners are bound to their respective commitments made within the partnership agreement (e.g. Project Document).
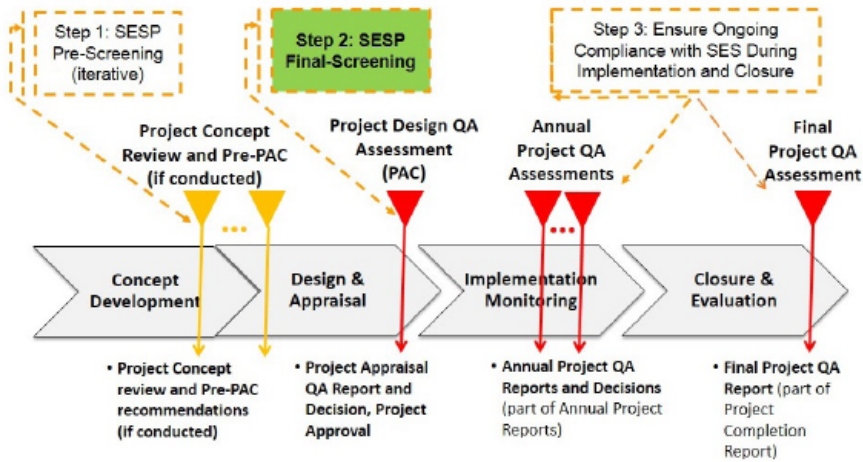
15. While the screening process takes place during the Project concept and design stage as part of a good planning process, implementation and monitoring of identified risk management and mitigation measures is required throughout the life-cycle of the Project.

16. During Project implementation, certain circumstances require the revision of completed screenings. These include: (a) where social and environmental assessments are conducted as part of Project implementation and UNDP is carrying out follow-on activities (see para. 45 below), (b) where there are substantive changes to the Project (e.g. changes in design, additional components), or (c) changes in the Project context[5] that alters the Project's risk profile. If the revised screening results in a higher risk profile (potentially requiring re-categorization), the revised SESP needs to be reviewed by the Project Board or a subsequent PAC process and the Project Risk Log updated.

17. In cases where a social and environmental assessment could cover several related projects, its costs could be shared across various projects either as part of the Initiation Plan or part of the project budget. In such cases, UNDP's role in conducting the social and environmental assessment (i.e. oversight and quality assurance) would vary.

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

18. UNDP's approach to Project Quality Assurance (QA) involves reviewing the quality of Projects to strengthen development effectiveness. At each Project stage (see Figure 1), the QA system requires review of Projects across seven quality criteria: (1) strategic, (2) relevant, (3) *social and environmental standards*, (4) management and monitoring, (5) efficient, (6) effective, and (7) sustainability & national ownership.

19. The SESP assists UNDP staff to ensure that the QA criterion for social and environmental standards has been addressed in the Project design. Completion of the SESP Template (Annex 1), for Projects that require it, is necessary to receive a satisfactory score for the Project Appraisal Quality Assurance review and to proceed with Project approval. Results of QA reviews, including the SESP, will be documented in the Corporate Planning System for each Project.

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

Who is Responsible for Screening?

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

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

- **Quality Assurance (QA) Assessor** ("checks"): The QA Assessor is the UNDP staff member responsible for the Project, typically a UNDP Programme Officer, who is not necessarily the Project Developer/Manager or part of the Project team. The QA Assessor checks to ensure that the social and environmental screening process is adequately conducted and submitted to the Project Appraisal Committee (PAC). The QA Assessor includes a review of compliance with the SES as part of the QA process throughout the lifecycle of the project. In some cases, the QA Assessor and the Project Developer may be the same person.

- **QA Approver** ("clears"): The QA Approver is a UNDP senior manager in the office with responsibility for reviewing and clearing the Project QA assessments, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor.

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

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

- **Project Manager** ("implements"): The Project Manager is responsible for ensuring that the identified social and environmental management measures are implemented and monitored. The Project Manager may be a UNDP staff member or Implementing Partner.

21. In addition, support and oversight will be provided at the Regional and HQ levels:

- **Regional Hubs** are at the forefront of providing support to Country Offices (CO). For example, Regional Hubs can respond to requests to review the social and environmental screening in cases where the CO team is uncertain of potential social and environmental impacts or where a high level of risk has been identified. Regional Hubs may also choose to maintain a roster of external experts in the region to support social and environmental screening, assessment and management planning.

- Trained focal points in the **Bureau for Policy and Programme Support** (**BPPS) and Regional Bureaus** will provide additional oversight and support to ensure successful implementation of the SES and SESP. This will include a dedicated staff member in the BPPS Development Impact Group, who will work closely with all of the focal points across the Bureaus. BPPS will establish a roster of global experts that can be mobilized to provide support if needed.

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

What Are the Steps in the Screening Process?

23. Steps, roles and responsibilities, and relevant tools, templates and tracking systems for the SESP are summarized in Table 1. It should be noted that the SESP is intended to be conducted as an **iterative exercise** to inform the design process but a final completed screening will need to be reviewed by the PAC and included as part of final Project documentation. In most cases screening of Projects will be a straightforward, desk-based exercise in which Project Developers draw on their experience and professional judgment and, where warranted, on expert advice. Screening projects with potentially significant social and environmental risks and/or impacts requires more time and in most cases will need to involve relevant experts.

Table 1: QUICK GUIDE - Steps in UNDP's SESP during the Project Cycle

Steps and Timing	Responsible*	Template/Form/ Tracking
Step 1: Gather Information and Conduct Pre-Screening to Inform Project Design (PROJECT CONCEPT AND DESIGN)		
Review available information relevant to the Project's social and environmental aspects, such as: UNDAF, CPAP; planning documents including existing gender, human rights, social, environmental studies; applicable legal and regulatory framework; input from stakeholder engagement activities; relevant reports of UN or other agencies, such as Universal Periodic Reviews.	Project Developer	
If social and environmental assessment has already been completed, review for quality and consistency with SES and to ensure identified management measures are integrated into Project design.	Project Developer	Guidance Note on Social and Environmental Assessment
Conduct iterative pre-screening of Project Concept and draft Project Document to inform Project Design. Determine a preliminary risk categorization. Pre-screening results can be presented as part of an internal Pre-PAC.	Project Developer Pre-PAC (recommended)	Screening Template (Annex 1)
For potential Moderate or High Risk Projects, determine scope of required social and environmental assessment. Assessment should be conducted as part of Project preparation. Where funding is required for studies and/ or assessment, an Initiation Plan (see para. 45) can be prepared and submitted to PAC. In some cases assessments will be conducted during Project implementation as a key output. However no activities that may cause adverse social and environmental impacts are to proceed until assessments and adoption of appropriate mitigation and management measures are completed. Activities that cannot proceed until completion of assessments should be clearly identified.	Project Developer Support from technical experts, Regional Hubs and HQ for High Risk Projects	Guidance Note on Social and Environmental Assessment Initiation Plan
When further assessment is conducted during Project Design, Project Developer ensures integration of additional identified management actions into final draft Project Document, AWP, and Project Risk Log. Where UNDP will not take the lead on additional social and environmental assessment that may be required (see para. 45), UNDP ensures that support is provided to partners through Project implementation to ensure adequate assessment and management plans are in place that are consistent with UNDP's SES.	Project Developer	Project Document/ AWP/ Project Risk Log
Step 2: Conduct Mandatory Final Screening (PROJECT APPRAISAL AND APPROVAL)		
Conduct mandatory SESP of final draft Project Document as part of Project Appraisal and Quality Assurance process.	Project Developer (completes) QA Assessor (checks) QA Approver (clears)	Screening Template (Annex 1) QA Template

Steps and Timing	Responsible*	Template/Form/Tracking
Step 2: Conduct Mandatory Final Screening (PROJECT APPRAISAL AND APPROVAL) (*continued*)		
PAC/LPAC reviews screening results, makes recommendations, ensures management actions incorporated, PAC Chair signs SESP Screening Report to document that it was reviewed.	PAC/LPAC	Minutes of PAC meeting
If Project Appraisal process requires further revisions to the Project then the SESP will be updated to reflect any changes to the Project	Project Developer	Screening Template (Annex 1)
Final signed Screening Report and any required social and environmental assessments included as Annexes to the Final Project Document	Project Developer	Project Document Template
Final Project approval	Programme Manager	
Step 3: Ensure Ongoing Compliance with the SES (PROJECT IMPLEMENTATION AND CLOSURE)		
Ensure social and environmental risk management and mitigation measures implemented and monitored. Risks are logged (at least annually), regularly updated, mitigated and managed as necessary.	Project Manager	Project Risk Log Social and Environmental Management Plans, if applicable
Review ongoing compliance with the SES as part of QA Annual Project reviews	QA Assessor QA Approver	Annual Project QA Report
Include review of compliance with applicable SES requirements, including social and environmental risk prevention and management, lessons learned and opportunities for improvement, within Project evaluations (including final evaluation).	Project Manager	
In cases where project-affected people raise concerns and/or grievances regarding the Project's social and/or environmental performance during implementation, utilize project-level and/or national grievance mechanisms and, if requested, UNDP's Stakeholder Response Mechanism or the Social and Environmental Compliance Unit in OAI, and modify Project as needed.	SRM CO Designee SECU (OAI)	Guidance for UNDP Stakeholder Response Mechanism SECU Standard Operating Procedures
Certain circumstances require that completed screenings for Projects under implementation be revised. These include: (a) where social and environmental assessments are conducted as part of Project implementation and UNDP is carrying out follow-on activities, (b) where there are substantive changes to the Project (e.g. changes in design due to assessment findings or other factors, additional components), or (c) changes in the Project context that alters the Project's risk profile. If the revised screening results in a higher risk profile (i.e. re-categorization), the SESP needs to be reviewed by a subsequent PAC process and the Project Risk Log updated.	Project Manager Project Board or PAC/LPAC	Screening Template (Annex 1) Project Risk Log

*Oversight and support provided by RBx and BPPS throughout

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

24. Guidance, tools and case studies, including examples of completed SESP templates, will be made available in an online toolkit for UNDP Staff at: https://intranet.undp.org/unit/bpps/DI/SES_Toolkit.

III. Completing the Screening Template

25. Annex 1 provides an annotated screening template. The template can be completed using the MS Word form or online tool (too be launched in 2015 and will be available in the SES toolkit) for all proposed Projects that require completion of the SESP.

26. The screening template guides users through the process to ensure the objectives of the screening process are met and that the final determinations and decisions are adequately documented. Completion of the template comprises the Social and Environmental Screening Report that is to be attached as an **annex to the Project Document**. The Screening results also provide a direct **input to the Project Risk Log**. See Box 1 for an overview of the SESP Template components.

Box 1: SESP Template Components

Part A – Integrating the Three Overarching Principles

Question 1: How does the Project integrate the Overarching Principles to Strengthen Social and Environmental Sustainability?

Part B – Identifying and Managing Social and Environmental Risks

Question 2: What are the potential social and environmental risks?

Question 3: What is the level of significance of the identified risks?

Question 4: What is the overall social and environmental risk categorization of the Project? (Low/Moderate/High)

Question 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?

Question 6: What is the level of social and environmental assessment and management required to address potential impacts and risks (for Moderate and High Risk Projects)?

Attachment 1. Social and Environmental Risk Screening Checklist (tool to help answer Question 2)

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27. The following paragraphs provide guidance on how to answer the six questions in the SESP template.

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

28. The SES and SESP do not only apply a "do no harm" approach but also a quality enhancement approach to strengthen social and environmental sustainability of UNDP programming. In addition to risk screening, the SESP provides a tool to help UNDP fully consider and document how the SES Overarching Policy and Principles, namely a human rights-based approach to development programming, gender equality and women's empowerment, and environmental sustainability, are integrated into Project design.

29. Question 1 therefore does not seek to identify potential adverse social and environmental risks or the risk categorization of the Project (addressed in Questions 2-6 of the template). Instead, this section asks Project Developers to provide evidence that the Overarching Policy and Principles have been considered and <u>appropriately</u> integrated in Project design. Integration of the principles will look different in every Project, therefore, this section is descriptive and meant to provide flexibility in design while at the same time demonstrating that these normative principles have been considered.

30. The description of how the three principles have been addressed should briefly note any targeted support being provided through the Project to support human rights, gender equality and environmental sustainability. It should also note opportunities or measures that have been incorporated to fully integrate these three principles across all dimensions of the Project.

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

31. In Question 2 users briefly describe potential social and environmental risks. To answer this question, users first complete Attachment 1 – Social and Environmental Risk Screening Checklist, which provides a series of Yes/No questions related to potential risks under each of the SES Principles and Project-Level Standards. All "Yes" answers in the checklist indicate a potential risk.

32. Screening for potential adverse social and environmental risks and impacts encompasses all activities outlined in the Project documentation and includes review of potential direct and indirect impacts in the Project's area of influence.[6]

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

33. **Project activities are screened for their inherent social and environmental risks regardless of planned mitigation and management measures.** It is necessary to form a clear picture of potential inherent risks in the event that mitigation measures are not implemented or fail. This means that risks should be identified and quantified as if no mitigation or management measures were to be put in place.

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

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

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

    - Type and location: Is the Project in a high-risk sector or does it include high-risk components? Is it located in sensitive areas (e.g. in densely populated areas, near critical habitat, indigenous territories, protected areas, etc.) (See Annex 2)

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

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

    - Duration: will the adverse impacts be short-term (e.g. exist only during construction), medium term (e.g. five years) or long-term?

    - Reversibility: is an impact reversible or irreversible?

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

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

Table 2. Rating the 'Impact' of a Risk

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

Table 3. Rating the 'Probability' of a Risk

Score	Rating
5	Expected
4	Highly Likely
3	Moderately likely
2	Not Likely
1	Slight

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

Table 4. Determining 'Significance' of Risk

Green = Low, Yellow = Moderate, Red = High

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

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

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

40. The SESP results in one of the following three risk categories for the proposed Project:

    - **Low Risk:** Projects that include activities with minimal or no risks of adverse social or environmental impacts.

    - **Moderate Risk:** Projects that include activities with potential adverse social and environmental risks and impacts, that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through application of standard best practice, mitigation measures and stakeholder engagement during Project implementation. Moderate Risk activities may include physical interventions (e.g. buildings, roads, protected areas, often referred to as "downstream activities) as well as planning support, policy advice, and capacity building (often referred to as "upstream" activities) which may present risks that are predominantly indirect, long-term or difficult to identify.

    - **High Risk:** Projects that include activities – either "upstream" or "downstream" activities – with potential significant and/or irreversible adverse social and environmental risks and impacts, or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process. High Risk activities may involve significant impacts on physical, biological, ecosystem, socioeconomic, or cultural resources. Such impacts may more specifically involve a range of human rights, gender, and/or environmental sustainability issues. Annex 2 provides an indicative list of potential High Risk Projects.

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

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

42. For all risks identified to be Moderate or High Significance (in Question 3) the applicable SES Principles (from a risk-based perspective) and Project-Level Standards need to be identified and carefully reviewed to ensure that the relevant SES requirements are integrated into Project design. Question 5 seeks to provide a clear overview of which principles and standards require special focus in the Project. Responses to the completed Attachment 1 – Social and Environmental Risk Checklist will also be helpful to respond to Question 5 since any "yes" responses to the checklist questions indicate the **potential** risk-based applicability of the relevant principle and/or standard.

Question 6: What is the level of social and environmental *assessment and management* required to address potential impacts and risks (for Moderate and High Risk Projects)?

43. Question 6 asks users to indicate what social and environmental assessment measures have been conducted and/or are required to address the identified potential risks.

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

45. Assessments are conducted, documented, and publicly disclosed in order to integrate social and environmental considerations into decision-making processes. In regards to UNDP's Project cycle and types of operations, the timing of when assessments are undertaken will vary, as noted below. Assessments are typically conducted and disclosed during the Project design phase prior to appraisal. However, in certain cases assessments will need to be financed through the Project budget (hence, during Project implementation). However, in all cases required social and environmental assessments and adoption of appropriate mitigation and management measures must be completed, disclosed, and discussed with stakeholders prior to implementation of any activities that may cause adverse social and environmental impacts.[7] Activities that cannot proceed until completion of assessments should be clearly identified in the Project Document. Below are several scenarios regarding when assessments are to be conducted in relation

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7   UNDP's SES ensures that "the SESA/ESIA process and development of [management plans] involves timely, iterative and meaningful stakeholder engagement and participation, predicated on timely disclosure of information." Draft assessments are to be disclosed. (SES, Policy Delivery Process, para. 10).

to UNDP Project approval and how they will be funded. It should be noted that these scenarios are not mutually exclusive; a UNDP Project may involve elements of all three:

- **Existing assessment is used.** For example, UNDP may be engaged to support components of an existing initiative for which an assessment has already been conducted by the partner or third parties. In such situations, UNDP draws on the assessment for analyzing UNDP's components of the broader initiative. For activities funded through UNDP accounts, UNDP will need to ensure that the assessment and management measures are consistent with UNDP's SES and would need to undertake further assessment if that is not the case. The Guidance Note on Social and Environmental Assessment will be available in the online toolkit.

- **Assessment is conducted as part of Project preparation**, prior to the PAC. Where funding may be required for preparatory studies and/or assessment, an Initiation Plan[8] can be prepared and submitted to the PAC. In cases where UNDP Projects involve downstream implementation activities that include physical works or infrastructure with potential social and environmental impacts, the assessment must be completed prior to approval of final design and the release of funds for those activities.

- **Assessment is conducted during Project implementation**. For example, the Project may include activities to conduct an assessment or activities to support a partner-led assessment and stakeholder engagement process for the development of broader strategies and programmes. In such cases, the assessment or support to an assessment is an output of the Project and would be funded through the Project budget.

46. Social and environmental assessment is a flexible and highly contextualized approach that will vary considerably in form and scope depending on the Project. Potential risks of both "upstream" and "downstream" activities are to be assessed utilizing appropriate methodologies.[9]

47. When a Project is categorized as Low Risk no further social and environmental assessment is required. If stakeholders have raised concerns regarding the Project's social and environmental aspects, the Low Risk designation must be carefully reviewed (e.g. serious objections should warrant Moderate or High Risk categorization).

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8   An Initiation Plan can be prepared when financial resources are required to finalize the Project design or to begin certain Project activities, such as conducting a social and environmental assessment. The Initiation Plan contains three elements: a standard cover page; a description of the activities/key deliverables and how they will be managed; a standard budget in the form of an Annual Work Plan.

9   Whereas physical interventions ("downstream" activities) are typically assessed utilizing forms of Environmental and Social Impact Assessment, "upstream" activities (e.g. policy and planning support, reforms, capacity building) require utilization of a potential range of other methodologies and/or tools that seek to mainstream social and environmental sustainability as well as to assess potential risks. It must be noted that "upstream" Projects may also include plans for future "downstream" implementation activities (e.g. physical interventions) that are not yet defined but which may pose potential risks that will need to be addressed.

48. When a Project is categorized as Moderate or High Risk, then some form of social and environmental assessment and management measures will be required to ensure compliance with the SES. In some cases assessments will have already been produced or are in preparation by national governments or other partners, in which case the Project Developer will need to appraise the quality of those assessments and ensure relevant recommendations are incorporated in Project design (see additional guidance in the toolkit).

49. When a Project is categorized Moderate or High Risk the first task will be to determine the scope of the social and environmental review and assessment that is required and appropriate to the nature of the identified risks. Key guidelines and types of social and environmental assessment are summarized below (see additional guidance in the toolkit).[10]

Moderate Risk Projects

50. Moderate Risk Projects may require limited social and environmental assessment and review to determine how the potential impacts identified in the screening will be avoided or when avoidance is not possible, minimized, mitigated and managed. Further analysis may determine that a full social and environmental assessment is required in order to ensure that the SES requirements are addressed, and that the Project should be re-categorized as High Risk.

51. Potential risks and impacts of Moderate Risk Projects may at times be addressed through straightforward application of environmental siting, pollution standards, design criteria, or construction standards. In other cases, targeted studies and assessments may be required, such as the following:

- **Limited or Focused Social and Environmental Assessments** specific to the identified potential social and environmental risks and/or impacts may be conducted. During the screening process, the limited potential social and environmental risks and impacts are identified together with measures to eliminate or minimize and mitigate the identified risks and impacts. The Project plan is modified accordingly and, if necessary, further focused assessment is undertaken. Examples of focused assessments include air pollutant emissions and air quality impact studies, noise and vibration studies, water resources impact studies, contamination investigations and assessments, traffic studies along transport corridors, social baselines, gender analyses, and labor audits.

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10   Includes material adapted from IFC's Guidance Note 1: Assessment and Management of Environmental and Social Risks and Impacts, January 1, 2012, available at http://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/ifc+sustainability/our+approach/risk+management/performance+standards/environmental+and+social+performance+standards+and+guidance+notes, and Asian Development Bank, Environment Safeguards: A Good Practice Sourcebook, Draft Working Document, December 2012, available at http://www.adb.org/documents/environment-safeguards-good-practice-sourcebook.

- **Risk/Hazard Assessments** address risks of injury to workers and the public from potential hazards related to Project activities, such as the release of toxic or hazardous material or unsafe conditions due to construction. Examples of risk/hazard assessments include life and fire safety assessments and human health and environmental risk assessments (e.g. facilities with potential adverse emissions to the environment or existing contamination).

- **Environmental and Social Audits** review potential adverse risks of a Project's physical facilities that already exist or are under construction when UNDP enters a Project. Such facilities (e.g. buildings, roads, retaining walls, waste and sanitation) may not have been planned or constructed with adequate measures to avoid, minimize, and mitigate adverse risks. An environmental and social audit seeks to determine whether the existing facilities may pose adverse risks and, if so, results in a corrective action plan.

High Risk Projects

52. High Risk Projects require comprehensive social and environmental assessment and risk avoidance, mitigation, and management measures. The form of assessment will vary depending on the type of Project.

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

54. Detailed information on the process and typical content of SESAs and ESIAs is provided in the Guidance Note on Social and Environmental Assessment. Below are general descriptions of each instrument:

- **Strategic Social and Environmental Assessment (SESA)**[11] refers to a range of analytical and participatory approaches that aim to integrate social and environmental considerations into policies, plans and programs and evaluate their interlinkages with economic considerations. Potential adverse risks associated with such activities may be predominantly indirect, long-term or difficult to identify. SESA evaluates the effect of policy changes on a broad, cross-sectoral basis with the aim of making "upstream" development decision-making more sustainable. SESAs typically look at wider sustainability issues than project-level assessments, however there should be linkages between

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11   "SESA" builds on the principles and approaches of Strategic Environmental Assessment (SEA) that have been widely employed. The term was expanded to emphasize the integration of social dimensions of such approaches.

the two: information and strategies determined in a SESA would ideally cascade down through tiers of decision-making and be used for assessments of individual projects.[12] It should be noted that whereas SESAs are required for relevant High Risk Projects, the instrument may also be utilized to address potential impacts of Moderate Risk Projects.

55. **Environmental and Social Impact Assessment (ESIA)** analyzes the Project's potential adverse impacts and risks, in quantitative terms to the extent possible, and defines a set of social and environmental mitigation and management measures to be taken during the implementation of the Project to avoid, minimize, or manage for risks and adverse environmental and social impacts, per the mitigation hierarchy. The breadth, depth and type of analysis should be proportionate to the nature and scale of the proposed Project's potential impacts as identified during the course of the assessment process. The ESIA must conform to the requirements of UNDP's SES (see paras. 7-10 of the Policy Delivery Process of SES), the host country's environmental assessment laws and regulations, host country obligations under international law, and core human rights treaties. The SES require an ESIA for High Risk Projects, including, for example, those that (i) may adversely impact critical habitats, (ii) involve significant displacement and/or resettlement, (iii) produce significant quantities of greenhouse gases, or (iv) may adversely impact the rights, lands, resources and territories of the indigenous peoples, and (v) other circumstances that reflect potentially significant adverse impacts. Mitigation measures are specified in a Social and Environmental Management Plan,[13] which may also include other relevant required management plans, such as a Resettlement Action Plan or Indigenous Peoples Plan. ESIAs may include, as necessary, human rights impact assessments and forms of social and conflict analysis.

- High Risk Projects require enhanced internal and external support. High Risk projects typically involve complex risks that require specialist input to cover the specific disciplines, techniques, and local knowledge required to analyze them. For this reason, the SES generally require the use of independent expertise in the preparation of social and environmental assessments for High Risk projects. In addition, enhanced internal support should be utilized. Relevant UNDP thematic area specialists should be involved to help ensure proper scope and requirements of assessments. Regional Bureaus, Regional Hubs, and relevant expertise within the Bureau for Policy and Programme Support should be consulted.

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12   Projects that support planning and policy reforms may also include or anticipate "downstream" interventions which may pose potentially significant adverse risks and impacts. In such cases, the SESA process should also involve the development of an Environmental and Social Management Framework (ESMF) that sets out the principles, rules, guidelines and procedures for assessing the potential social and environmental impacts of forthcoming but as yet undefined interventions.

13   Often referred to as an Environmental Management Plan (EMP) in materials regarding ESIAs.

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.

Note: this annotated template will be converted into an online tool. The online version will guide users through the process and will include linked definitions and context-specific guidance. The template provides space for user comments.

Project Information

Project Information	
1. Project Title	
2. Project Number	
3. Location (Global/Region/Country)	

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

INSTRUCTIONS: Refer to paras. 28-30 in SESP Guidance. This question is intended to help identify and document how key elements of the SES Overarching Policy and Principles (i.e. a human rights-based approach to development programming, gender equality and women's empowerment, and environmental sustainability) have been addressed by the Project in order to enhance social and environmental sustainability. The question does not seek to identify potential adverse social and environmental risks (addressed below by Questions 2-6). Instead the questions help to ensure that opportunities for promoting social and environmental sustainability have been appropriately considered during Project development. The Project may already include measures designed to assist government efforts to enhance the realization of human rights, gender quality and environmental sustainability, or additional measures will be identified during the screening process—these should all be noted here as evidence. Refer to SES toolkit for further guidance on addressing screening questions.

Briefly describe in the space below how the Project mainstreams the human rights-based approach[17]

For example, by describing how the Project design:

- *Includes measures to assist the government to realise (respect, protect and fulfil) human rights under international law and to implement human rights-related standards in national law (whichever is higher).*

- *Enhances the availability, accessibility and quality of benefits and services for potentially marginalized individuals and groups, and increases their inclusion in decision-making processes that may impact them (consistent with the non-discrimination and equality human rights principle)[18]*

- *Supports meaningful participation and inclusion of all stakeholders, in particular marginalized individuals and groups, in processes that may impact them including design, implementation and monitoring of the project, e.g. through capacity building, creating an enabling environment for participation, etc. (consistent with participation and inclusion human rights principle)*

- *Provides or supports meaningful means for local communities and affected populations to raise concerns and/or grievances including a redress processes for local communities when activities may adversely impact them (consistent with accountability and rule of law human rights principle)*

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

15   Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

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

For example, by describing how the Project design:

- *Benefits from gender experts and gender analysis*
- *Applies a meaningful participatory process for engaging women's voices*
- *Includes analysis of gender inequalities, in the Project's rationale section, and makes clear how UNDP will promote changes in relation to gender equality*
- *Incorporates age and sex-disaggregated data and gender statistics and specific, measureable indicators related to gender equality and women's empowerment*
- *Ensures the results framework includes: (a) special measures/outputs, and (b) indicators to address gender inequality issues*
- *Identifies cultural, social, religious, and other constraints on women's potential participation and strategies to overcome them*
- *Ensures that Project scores 3 or 2 as per the ATLAS Gender Marker*

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

For example, by describing how the Project design:

- *Supports implementation of national environmental sustainability priorities identified in the UNDAF, country analysis, and/or country commitments under Multilateral Environmental Agreements (MEAs)*
- *Strengthens environmental management capacities of country partners*
- *Addresses environment-development linkages (e.g. poverty-environment nexus, environmental dimensions of disaster and crisis prevention)*
- *Applies a precautionary approach to natural resource conservation[19]*

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

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks?	QUESTION 3: What is the level of significance of the potential social and environmental risks? Note: Respond to Questions 4 and 5 below before proceeding to Question 6			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
INSTRUCTIONS: Refer to paras. 31-33 in the SESP guidance. Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). Risks should be identified as if no mitigation or management measures were to be put in place. If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects.	INSTRUCTIONS: Refer to paras. 34-37 of SESP guidance. Estimate the level of significance (i.e. potential impact) and probability for each identified social and environmental risk. Rate Impact ("I") and Probability ("P") on a scale of 1 (low) to 5 (high). Significance is determined based on the combination of Probability and Impact (see Table 4 in SESP Guidance)			INSTRUCTIONS: Refer to paras. 42-54 of SESP guidance i. Describe briefly the social and environmental assessments that may be required (per SES) and/or that may already have been conducted. Note: High Risk projects require full Environmental and Social Impact Assessments (ESIA) or Strategic Social and Environmental Assessments (SESA) ii. Summarize the measures for avoiding and, if avoidance is not possible, mitigating and managing potential adverse social and environmental impacts.
	Impact and probability (1-5)	*Significance (Low, Moderate, High)*	*Comments*	*Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.*
Risk 1: ….	I = P =			
Risk 2: ….	I = P =			
Risk 3: ….	I = P =			
Risk 4: ….	I = P =			
[add additional rows as needed]				

QUESTION 4: What is the Overall Project Risk Categorization?

	Comments
INSTRUCTIONS: Refer to paras. 38-41 of SESP guidance. Project categorization is determined by the highest level of significance of identified risks in Question 3. Check appropriate box below.	
Low Risk	
Moderate Risk	
High Risk	

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?

	Comments
INSTRUCTIONS: Refer to para. 42 in SESP Guidance. Based on all identified risks rated as Moderate or High Significance, note which SES Principles and Project-Level Standards are relevant. It must be noted that the Overarching Principles are applicable to all Projects; the intent here is to indicate whether particular risks associated with the principles have been identified (e.g. potential human rights violations). Check all that apply.	
Principle 1: Human Rights	
Principle 2: Gender Equality and Women's Empowerment	
1. **Biodiversity Conservation and Sustainable Natural Resource Management**	
2. **Climate Change Mitigation and Adaptation**	
3. **Community Health, Safety and Working Conditions**	
4. **Cultural Heritage**	
5. **Displacement and Resettlement**	
6. **Indigenous Peoples**	
7. **Pollution Prevention and Resource Efficiency**	

Final Sign Off

Final Screening is not complete until the following signatures are included

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
<u>INSTRUCTIONS</u>: The risk screening checklist will assist in answering answer 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 SES toolkit for further guidance on addressing screening questions.	
Important considerations: • Project activities are screened for their inherent social and environmental risks before the application of mitigation and management measures. It is necessary to form a clear picture of potential inherent risks in the event that mitigation measures are not implemented or fail • Screening for potential adverse social and environmental risks and impacts encompasses all activities outlined in the Project documentation and includes review of potential direct and indirect impacts in the Project's area of influence[20]	
Principle 1: Human Rights	**Answer (Yes/No)**
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?[21]	
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	
7. Have local communities or individuals raised human rights concerns regarding the Project during the stakeholder engagement process?	

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

18   Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Principle 1: Human Rights (*continued*)	Answer (Yes/No)
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	

Principle 2: Gender Equality and Women's Empowerment	Answer (Yes/No)
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement?	
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	

Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	Answer (Yes/No)
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	
1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	
1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	
1.4 Would Project activities pose risks to endangered species?	
1.5 Would the Project pose a risk of introducing invasive alien species?	
1.6 Does the Project involve the transfer, handling or use of genetically modified organisms/living modified organisms that result from modern biotechnology and that may have an adverse effect on biodiversity?	
1.7 Does the Project involve agricultural production or harvesting of natural forests, plantation development, or reforestation?	
1.8 Does the Project involve the production and/or harvesting of livestock or aquatic species?	
1.9 Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction.*	

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management (*continued*)	Answer (Yes/No)
1.10 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	
1.11 Would the Project generate potential adverse transboundary or global environmental concerns?	
Standard 2: Climate Change Mitigation and Adaptation	**Answer (Yes/No)**
2.1 Will the proposed Project result in significant[19] greenhouse gas emissions or may it exacerbate climate change?	
2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	
2.3 Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change 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*	
Standard 3: Community Health, Safety and Working Conditions	**Answer (Yes/No)**
3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	
3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	
3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	
3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	
3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	
3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	
3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	
3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	
3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	

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19   In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

Standard 4: Cultural Heritage	Answer (Yes/No)
4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	
Standard 5: Displacement and Resettlement	**Answer (Yes/No)**
5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?	
5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	
5.3 Is there a risk that the Project would lead to forced evictions?[20]	
5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	
Standard 6: Indigenous Peoples	**Answer (Yes/No)**
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	
6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk*	
6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	
6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	
6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	

20   Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

Standard 6: Indigenous Peoples (*continued*)	Answer (Yes/No)
6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	
6.8 Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	
6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	
Standard 7: Pollution Prevention and Resource Efficiency	**Answer (Yes/No)**
7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	
7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	
7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	
7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	

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

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

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

Projects with significant adverse social and/or environmental impacts

- Projects which may result in significant adverse social impacts to local communities or other project affected parties
- Projects which may involve significant displacement and/or resettlement[21]

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

- Projects which may adversely impact the rights, lands, resources and territories of indigenous peoples

- Projects which may adversely impact critical habitats

- Projects which may result in significant adverse impacts to cultural heritage

- Projects that emit significant quantities of GHGs[22]

Waste and chemicals projects

- Waste-processing and disposal installations for the incineration, chemical treatment or landfill of hazardous, toxic or dangerous wastes

- Large-scale waste disposal installations for the incineration of chemical treatment of non-hazardous wastes

- Municipal wastewater treatment plants with a capacity exceeding 150,000 population equivalent

- Municipal solid waste processing and disposal facilities

- Integrated chemical installations, i.e. those installations for the manufacture on an industrial scale of substances using chemical conversion processes, in which several units are juxtaposed and are functionally linked to one another and which are for the production of: basic organic chemicals; basic inorganic chemicals; phosphorous, nitrogen or potassium based fertilizers (simple or compound fertilizers); basic plant health products and biocides; basic pharmaceutical products using a chemical or biological process

Extraction and harvesting activities

- Groundwater abstraction activities or artificial groundwater recharge schemes in cases where the annual volume of water to be abstracted or recharged amounts to 10 million cubic meters or more

- Industrial-scale commercial harvesting operations of tree plantations

- Large-scale logging or deforestation of large areas

- Where tree plantations provide all the raw material, industrial plants for the: (a) production of pulp from timber or similar fibrous materials; or (b) production of paper and board with a production capacity exceeding 200 air-dried metric tonnes per day

- Large-scale peat extraction

- Large-scale quarries and open-cast mining, and processing of metal ores or coal

Land, agriculture, livestock projects

- Large-scale land reclamation or sea dredging operations

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22   The significance threshold to be considered is generally more than 25,000 tonnes of CO2- equivalent per year for the aggregate emissions of direct and indirect sources. The quantification of emissions should consider all significant sources of GHG emissions, including non-energy related sources such as methane and nitrous oxide, among others.

- Large-scale primary agriculture or forestation, reforestation, or afforestation involving intensification, land use change or conversion of natural habitats, priority biodiversity features and/or critical habitats

- Industrial plants for the production of pulp from timber or similar fibrous materials or production of paper and board

- Large-scale installations for the intensive rearing of poultry or livestock

- Plants for the tanning of hides and skins where the treatment capacity exceeds 12 tonnes of finished products per day

Large-scale infrastructure (construction and/or expansion)

- Construction of motorways, express roads and lines for railway traffic; airports; new roads of four or more lanes; realignment and/or widening of existing roads to provide four or more lanes of 10 kilometers or more in a continuous length

- Large-scale sea and river ports and also inland waterways and ports for inland-waterway traffic; trading ports, piers for loading and unloading connected to land, and outside ports (excluding ferry piers)

- Large dams and complex dams[26] and other impoundments designed for the holding back or permanent storage of water, including, for example, for hydroelectric Projects, water supply for irrigation or municipal water supply and other purposes, and flood control

Large-scale energy and fuel projects, including transmission/transport (construction and/or expansion)

- Crude oil refineries

- Thermal power stations and other combustion installations (with heat output of at least 300 megawatts)

- Extraction of petroleum and natural gas for commercial purposes

- Installations for storage of petroleum, petrochemical, or chemical products

- Pipelines, terminals and associated facilities for the large-scale transport of gas, oil and chemicals

- Construction of high-voltage overhead, underground or submarine electrical power lines

- Large-scale wind power installations for energy production (wind farms)

Other

- Large-scale tourism and retail development.

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26   Large dams are defined as those of 15 meters or more in height. Complex dams are those of a height between 10 and 15 meters that present special design complexities, including an unusually large flood-handling requirement, location in a zone of high seismicity, foundations that are complex and difficult to prepare, or retention of toxic materials.

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