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

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**

Pro	oject Information	
1.	Project Title	UNDP FLAGSHIP PORTFOLIO on SDG 16 on Peace, Justice, and Strong Institutions
2.	Project Number (i.e. Atlas project ID, PIMS+)	
3.	Location (Global/Region/Country)	Sri Lanka
4.	Project stage (Design or Implementation)	Implementation (Design SESP completed at inception in 2019 and implementation SESP completed in June 2021
5.	Date	July 2022

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

### QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

#### Briefly describe in the space below how the project mainstreams the human rights-based approach

The portfolio adopts a strong human rights and rights-based approach. This translates in a number of ways. The portfolio will strengthen the ability of institutions as duty-bearers to be more responsive and accountable to all citizens as rights-holders, with targeted interventions that strengthen how these institutions consult with, elicit views and feedback from, and report back to, citizens. It also means that institutions actively promote equality and non-discrimination. While UNDP will primarily target public institutions (the supply-side), the portfolio includes targeted support for civil society and citizens (the demand-side) to better engage with these institutions. On the supply-side, efforts will be made to uphold citizens' right to access services in the language of their choice. On the demand-side, the portfolio includes a number of targeted justice-sector and local governance interventions aimed at improving how traditionally vulnerable and excluded groups access human rights remedies. Finally, the portfolio provides technical support to target institutions to improve their ability to meet reform commitments and international human rights obligations, including the International Conventions on Economic, Social and Cultural Rights (ICESCR) as well as Civil and Political Rights (ICCPR), as well as the International Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW).

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

The portfolio recognizes the disproportionate impacts of under-development, weak governance and conflict, on women, as well as their role in finding solutions to and addressing the issues of inequality and power structures. The portfolio's commitment to GEWE translates into the following: Ensuring the inclusion of women as well as gender equality being reflected in policy- and law-making as well as budgeting processes and results; advocating for increased numbers of women in political party nominations for national, provincial and local government elections and supporting the development of a pool of interested and qualified

candidates; ensuring representation of women and young people in multistakeholder dialogues and capacity-development activities supported by the portfolio, up to a 30% minimum quota; facilitating gender-focused research, dialogue and advocacy; targeted engagement with and support for women's and youth organizations or for civil society organizations working on gender and youth issues; interventions supporting the implementation of the lagging/ priority sectors/ components of the National Plan of Action on SGBV; strengthening livelihoods and addressing sexual bribery faced by conflict-affected and military widows; earmarking at least 20% of programme funding for GEWE activities; and endeavouring to achieve gender-balance in programme staff, including at management levels. The portfolio will align to the 3rd UNDP Gender Equality Strategy (2018-2022) at global level and take forward all 4 priority areas under Signature Solution 6 of UNDP's Strategic Plan 2018-2021 – strengthen gender equality and the empowerment of women and girls. The portfolio further contributes to the global level Memorandum of Understanding between UNDP and UN Women in the area of addressing GBV, women's political leadership, post-crises response and promoting women's economic empowerment.

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

Gaps in institutional capacities and policy coordination, as well as political influence over decision-making, have been flagged as some of the underlying causes of the country's climate and disaster vulnerability. The portfolio looks to integrate environmental protection and disaster resilience into all 4 of its service lines, including for instance: through its support to Parliament committees; implementation of the right to information; improving access to justice; adoption and implementation of the UN Guiding Principles on Businesses and Human Rights; private sector engagement to achieve improved environmental justice; engaging and capacitating civil society to advocate and litigate for environmental justice; and support to participatory planning processes in local government authorities and provincial councils.

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

Programmatically, the portfolio engages CSOs to help mobilize and strengthen the voice of traditionally under-represented and vulnerable groups (including women and disabled citizens) to advocate for their basic legal and human rights, including ensuring environmental justice is upheld. The recalibrated portfolio puts special emphasis on ensuring strengthened policy making structures are inclusive and ensure voice and representation of citizens. This is achieved through support to strengthen parliament at national level; strengthening local government accountability mechanisms at provincial level; capacitating civil society to advocate on behalf of justice issues to ensure decision makers are held accountable; and establishing justice sector mechanisms for citizens to more easily and transparently access equal justice for all (including through digital means and in the language of their choice). At management level, decisions under the Portfolio will be held accountable to the overall SDG 16 Portfolio Board (including a wide range of government, donor and development partners), where work plans, financial decision making and progress/ results achieved will be reviewed and approved collectively. In the resettlement component especially where grievances could be raised re: beneficiary selection a dispute resolution committee is set up comprising local community representatives as well as government authorities. Beneficiaries are selected in consultation with community members, local leaders and local authorities, in an open manner, and selected names are displayed at a common community location with a notice period for any grievances/concerns regarding selection to be made to the dispute resolution committee.

Part B. Identifying and Managing Social and Environmental <u>Risks</u>

QUESTION 2: What are the Potential Social and Environmental Risks?  Note: Complete SESP Attachment 1 before responding to Question 2.	potential soc	cial and envir	e level of significance of the onmental risks? ss 4 and 5below before	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)	Significan ce (Low, Moderate Substanti al, High)	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High
Risk 1: Human Rights  Risk Event: There is a possibility of duty-bearers being unable to physically report to duties and deliver services, and rights-holders being unable to physically access services due to limited mobility.  Cause: Sri Lanka is currently in the midst of a severe economic and political crisis, resulting in acute fuel shortages. Work hours for government officials have been limited and the public is unable to access non-essential transportation.  Impact: As a result of this breakdown in mobility and service provision, the anticipated results focusing on strengthening/ capacitating local institutions and local service delivery (Pillar 3 of the Portfolio) and strengthening independent institutions (Pillar 3 of the Portfolio) may not be achieved in full and rights-holders may not achieve the enhanced level of service provision anticipated by the Portfolio's interventions.	I = 3 L =3	Moderate		The inherent objective of the portfolio is to strengthen the capacity of duty bearers and rights holders. Despite the limitations on physical mobility faced by both duty-bearers and rights-holders, the Portfolio has across all 4 pillars, taken innovative measures to ensure continued access to services to the fullest extent possible. Introduction of digital services and capacitating duty-bearers to use enhanced technology to provide services virtually/ improvements to web-based service provision in the rights-holders language of choice, are some examples. Trainings and workshops have been conducted virtually when required. Project budgets have been modified to provide transport allowances/ mobile data connections and COVID-friendly accommodation to ensure participation where physical events were conducted.

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? Yes P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights? Yes			
Risk 2: Climate Change and Disaster Risks  Risk Event: There is a likelihood that certain disaster-prone areas under the project (especially under the resettlement component), are affected by severe weather events, such as droughts and floods  Cause: Geographical and climatic reasons, including climate change, have contributed to the increased severity and frequency of extreme weather events in areas where resettlement assistance is being provided by UNDP.  Impact: The livelihood assistance delivered by the project, especially for agriculture development, may be affected by floods/ droughts.	I = 3 L= 2	Low	The resettlement work is undertaken in strict adherence with national guidelines (for example ensuring no construction is undertaken within the tsunami buffer zones established post-2004), and steps are taken to provide resettled communities with livelihood opportunities that are durable, context-specific and climate-resilient, with required community-infrastructure in-place where required to help adapt to seasonal floods and droughts. Synergies are also set up between the portfolio's livelihood activities and UNDPs existing resilience building and agricultural livelihood development projects. UNDP has partnered with Provincial Councils and Community Based Organizations in the North and has a presence in District and Divisional Coordination Committees, and District and Divisional Agriculture Committees. Much focus is provided through this to providing an integrated local development support to promote climate resilient livelihood restoration.
2.1 areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions? Yes 2.2 outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes			

Risk 3: Community Health, Safety and Security  Risk Event: There is a possibility that infrastructure development activities supported by UNDP could experience structural failures.  Cause: Poor quality construction standards and monitoring  Impact: Injury to persons/ damage to surrounding areas and reputational damage to UNDP  3.3 harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	I = 3 L= 2	Low	UNDP mainly supports small-scale community infrastructure linked to local livelihoods, and all are handed over to local communities and authorities for management and ownership upon completion. To minimize harm/ losses due to failure of structural elements, constructions are closely monitored by UNDP staff as well as technical experts from the relevant local authorities. Payments are only made by UNDP upon construction quality certification by the relevant technical officers. Retention periods are observed in releasing final payments for constructions. Therefore, the likelihood of these negative risks materializing due to the portfolio's interventions are minimal. Due to the recent rise in dengue, special attention may need to be paid in construction sites to avoid mosquito breeding in temporary habitats. Through an established field presence in all resettlement activity areas, and dedicated project staff for close monitoring of daily implementation work, UNDP closely follows up and monitors on-the
Risk 4: Labor and Working Conditions  Risk Event: There is a possibility that contracted workers (i.e., for construction and other work) may experience poor working conditions on UNDP-funded projects. There is also a possibility that contract workers may be subjected to discriminatory working conditions.  Cause: Poor health and safety standards on construction sites and monitoring of implementation on the ground.	I=3 L=2	Low	UNDP's contractual agreements with the contractors shall always require strict adherence to labour and working standards, and equal opportunity, and through an established field presence in all resettlement activity areas, UNDP closely follows up and monitors on-the ground how activities are carried out, ensuring labor and health standards are met in-line with national standards and UNDP guidelines.
Lack of equal opportunities for women to be involved in construction jobs.  Impact: Health risks to workers and reputational damage to UNDP.  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			

QUESTION 4: What is the overall project risk cate	gorizat	ion?		
Low Risk				
Moderate Risk	<b>√</b>			
Substantial Risk				
High Risk				
QUESTION 5: Based on the identified risks an triggered?				of the SES are
Question only required for Moderate, Substantial and	High R	isk p	rojects	
Is assessment required? (check if "yes")	No			Status? (completed, planned)
if yes, indicate overall type and status			Targeted assessment(s)	
			ESIA (Environmental and Social Impact Assessment)	
			SESA (Strategic Environmental and Social Assessment)	
Are management plans required? (check if "yes)	No			•
If yes, indicate overall type				
			ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			ESMF (Environmental and Social Management Framework)	
Based on identified <u>risks</u> , which Principles/Project-level Standards triggered?			Comments (not req	uired)
Overarching Principle: Leave No One Behind				
Human Rights	✓			
Gender Equality and Women's Empowerment				
Accountability	<b>√</b>			
Biodiversity Conservation and Sustainable     Natural Resource Management				
2. Climate Change and Disaster Risks	<b>√</b>			
3. Community Health, Safety and Security	✓			
4. Cultural Heritage	Ιп			

5. Displacement and Resettlement		
6. Indigenous Peoples		
7. Labor and Working Conditions	✓	
8. Pollution Prevention and Resource Efficiency		

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

Signature	Date	Description
QA Assessor Nimmi Ariyaratne	DocuSign 372740E1	ed by: 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	No. 15	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	DocuSigi DD7A4BD	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

Che	cklist Potential Social and Environmental Risks	
Temp	RUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening late. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall ategorization of the project, and (3) determine required level of assessment and management ures. Refer to the SES toolkit for further guidance on addressing screening questions.	
Overa	arching Principle: Leave No One Behind	Answer (Yes/No)
Huma	ın Rights	
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	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?	Yes
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	Yes
Would	d 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?	No
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
Gend	er 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	d 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?	No
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
	<b>linability and Resilience:</b> Screening questions regarding risks associated with sustainability and nce are encompassed by the Standard-specific questions below	

<sup>&</sup>lt;sup>1</sup> 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.

Acco	untability	
Would	d 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?	No
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
Proje	ct-Level Standards	
Stand	lard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
Would	d 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	No
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?	No
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? <sup>2</sup>	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) <sup>3</sup>	No
1.14	adverse transboundary or global environmental concerns?	No
Stand	lard 2: Climate Change and Disaster Risks	
Would	d the project potentially involve or lead to:	
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	Yes
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters?	Yes

 <sup>&</sup>lt;sup>2</sup> See the <u>Convention on Biological Diversity</u> and its <u>Cartagena Protocol on Biosafety</u>.
 <sup>3</sup> See the <u>Convention on Biological Diversity</u> and its <u>Nagoya Protocol</u> on access and benefit sharing from use of genetic resources.

	For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes	
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?	No
	For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding	
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Stan	dard 3: Community Health, Safety and Security	
Woul	d the project potentially involve or lead to:	
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	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)?	Yes
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No
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)?	No
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?	No
Stan	dard 4: Cultural Heritage	
Woul	d 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
Stand	dard 5: Displacement and Resettlement	
	d the project potentially involve or lead to:	
	d the project potentially involve or lead to:  temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No

5.3	risk of forced evictions? <sup>4</sup>	
		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
Stand	dard 6: Indigenous Peoples	
Woul	d the project potentially involve or lead to:	
6.1	areas where indigenous peoples are present (including project area of influence)?	No
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)?	No
	If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk	
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	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	No
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?	No
	Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.	
Stan	dard 7: Labour and Working Conditions	
Woul	d 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?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
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
Stan	dard 8: Pollution Prevention and Resource Efficiency	
Woul	d the project potentially involve or lead to:	
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<sup>&</sup>lt;sup>4</sup> 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.

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?	No
8.2	the generation of waste (both hazardous and non-hazardous)?	No
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs?  For example, DDT, PCBs and other chemicals listed in international conventions such as the  Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm  Convention	No
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