ASM-11331 - SESP (Social and Environmental Screening Procedure)

Procedure Year: 2024

Overall Project Risk Categorization: Substantial

Procedure Status: Draft

Procedure Name: ASM-11331

Procedure Type: Design

Procedure Department: HQ - Bangkok Reg Hub

Record Owner: Zixuan Zhou

Created by: Zixuan Zhou,10/1/2024, 5:03 PM

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RELATED PROJECTS(1)					
NAME	DEPARTMENT	STATUS	ATLAS PROJECT NUMBER	START DATE	END DATE
01002871	HQ - Bangkok Reg Hub	Draft		9/1/2024	9/30/2027

RELATED QAS(1)		
PARENT PROCEDURE	PROCEDURE TYPE	PROCEDURE YEAR
ASM-11332	Quality Assurance - Design	2024

Triggered Requirements:

Assessment — Status: Complete

Is assessment required? (Question only required for Moderate, Substantial and High Risk projects)

Targeted assessment(s) required? Yes

If yes, please indicate the status of required assessment(s)? Planned

Comments (for instance, please indicate the assessment type) (10000 Characters maximum)

Targeted assessment(s): Gap Analysis Report (country-level) and Gender Analysis (country-level) are planed.

Environmental and Social Impact Assessment (ESIA) required? Yes

If yes, please indicate the status? Planned

Comments (10000 Characters maximum)

Country-level ESIA (Environmental and Social Impact Assessment) is planed.

Strategic Environmental and Social Assessment (SESA) required? No

If yes, please indicate the status?

Comments (10000 Characters maximum)

Management Plans

Status: Complete

Are management plans required? (Question only required for Moderate, Substantial and High Risk projects)

Targeted management plan(s) required? Yes

If yes, please indicate the status of required management plan(s)? Planned

Comments (for instance, please indicate the type of management plan) (10000 Characters maximum)

Targeted management plans (e.g., Gender Action Plan, Emergency Response Plan, Waste Management Plan, others) including: Country-level Stakeholder Engagement Plan, Country-level Grievance Redress Mechanism Plan, Country-level Stakeholder Response Mechanism Plan, Country-level Emergency Response Plan, Country-level Occupational Health and Safety Plan are planned as applicable.

Environmental and Social Management Plan (ESMP) required? Yes

If yes, please indicate the status? Planned

Comments (10000 Characters maximum)

Country-level ESMP (Environmental and Social Management Plan which may include range of targeted plans) as applicable.

Environmental and Social Management Framework (ESMF) required? Yes

If yes, please indicate the status? Planned

Comments (10000 Characters maximum)

Country-level ESMF (Environmental and Social Management Framework) as applicable.

Identified Risks & Treatments:

Principle & Standard: Gender Equality and Women's Empowerment
Risk Significance: Substantial
Triggered Principles: ✓

Risk Significance: Substantial

Event:

During the project implementation, there is a risk that women will be excluded based on gender, traditional roles and cultural norms, and they may be unable to participate in stakeholder engagement due to their duties at home, and may be excluded from training programs that could help them advance into higher-value roles in the circular economy, such as green entrepreneurship, waste management leadership, or eco-design.

Causes:

As a result of the fact that in South Asia, Southeast Asia, and the Pacific Regions women are traditionally caregivers at home, plant gardens and manage family matters, as well as the possibility that the needs and perspectives of women may be overlooked in project planning, thus the proposed solutions do not consider their specific roles in waste management or household responsibilities related to plastic use and recycling.

Impact:

Which will result in women missing out on formal employment opportunities, training, or decision-making roles in more profitable aspects of the circular economy, which would perpetuate or exacerbate existing inequalities.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Conduct Gender Analysis for the country-specific projects.		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Develop a Stakeholder Engagement Plan with an aim of involving 25% women at the country-specific level. • Provide Gender Sensitivity Training for duty-bearers and external stakeholders that will be directly involved with the project implementation at the country-specific level, as required. • Establish quotas or targets to guarantee women's meaningful participation in decision-making bodies at all stages of the project, including design, implementation, and monitoring. • Conduct gender-specific consultations to capture women's voices, concerns, and ideas, ensuring they are integrated into project design. • Offer specialized training programs for women to help them build the skills needed to engage in higher-value activities in the circular economy, such as entrepreneurship, technical roles, and leadership positions. • Develop empowerment programs that provide mentorship, networking, and access to financial resources tailored to women. • Include gender-specific targets in all economic opportunities (e.g., jobs, contracts, financing) to ensure women benefit from the project. • Provide women with access to financing, credit, and business development services to support female-owned enterprises in the circular economy. • Tailor safety measures to the specific needs of women, ensuring they have access to proper				country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
protective equipment and safer working environments. • Implement policies to formalize and improve working conditions for informal workers, many of whom are women, in the waste sector. • Develop gender-sensitive indicators to monitor women's participation, access to opportunities, and benefits throughout the project lifecycle. • Conduct periodic gender audits to ensure that the project remains on track to deliver equitable outcomes for women and men. • Advocate for policies that promote gender equity in waste management and circular economy sectors at the national or local level. • Collaborate with gender-focused organizations to ensure the project adopts best practices in addressing gender disparities.				

Principle & Standard: Standard 2: Climate Change and Disaster Risks

Risk Significance: Substantial

Triggered Principles: ✓

Risk Significance: Substantial

Event:

There is a risk that country-level project activities will be undertaken in a location prone to hazards and natural disasters, specifically that the Material Recovery Facility (MRF) could be located in an area that is subject to natural disasters (e.g., earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions), and during natural disasters the MRF may be damaged and may render various equipment non-operational.

Causes:

As a result of extreme weather event or natural disaster causing damage to infrastructures required for project implementation and MRF equipment

Impact:

Which will result in delays in project implementation and damage to the MRF

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Develop Emergency Response Plan to outline contingency measures that will be undertaken in the event of natural disasters. • Conduct a disaster risk assessment during the project planning phase to identify vulnerable infrastructure. • Design disaster-resilient infrastructure using materials and technologies that can withstand local natural disaster risks. • Develop contingency plans for waste management operations during and after natural disasters, including alternative storage sites and temporary waste collection services. • Diversify supply chains and establish alternative logistics routes to ensure flexibility during disasters. • Build local recycling and processing capacity to reduce reliance on distant facilities and minimize transportation needs. • Establish emergency protocols for waste collection and management to ensure that waste does not accumulate dangerously during disaster periods. • Integrate disaster preparedness into waste management plans, including strategies for		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
managing sudden surges in plastic waste. • Partner with local governments and disaster response agencies to ensure coordinated efforts in managing waste during and after dis-asters. • Promote the use of sustainable materials and alternatives to plastics in emergency relief supplies to reduce plastic waste generation in disaster-prone areas. • Design waste management systems with a focus on minimizing environmental contamination during disasters (e.g., secure waste storage, impermeable waste collection points). • Incorporate environmental and social impact assessments (ESIAs) that account for disaster scenarios and build resilience into ecosystem management. • Develop rapid response teams to address environmental contamination from plastic waste in the immediate aftermath of a disaster. • Incorporate social protection measures, such as emergency financial aid or livelihood support, for vulnerable groups affected by disasters. • Build flexibility into the project timeline to allow for recovery periods following natural disasters. • Engage local communities in disaster preparedness activities to strengthen their resilience and ensure continued participation in the project. • Develop emergency waste management protocols that prioritize public health and				

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
safety during and after disasters. • Ensure that waste workers are equipped with protective gear and training to manage waste safely in disaster conditions. • Coordinate with health agencies to monitor and mitigate health risks from waste-related contamination. • Secure disaster insurance for critical infrastructure and operations to cover potential losses or damages. • Build disaster recovery and resilience funds into the project budget to manage unexpected costs. • Explore partnerships with governments or international organizations to access disaster risk reduction funding or support.				

Principle & Standard: Standard 7: Labour and Working Conditions

Risk Significance: Substantial

Triggered Principles: ✓

Risk Significance: Substantial

Event:

There is a risk that forced labor may be involved during the project implementation, in the informal sector of plastics waste and circular intervention in countries with poor oversight and regulation.

Causes:

As a result of poor governance, weak enforcement of labor laws, lack of regulation, and the fact that workers in in formal waste collection sectors may

be more vulnerable to exploitation, including forced labor.

Impact:

Which will result in exploitation and violation of fundamental human rights, non-compliance with UNDP policy and international labour standards, causing reputational damage to UNDP and the Project Donor.

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Conduct thorough and regular audits of the entire supply chain to ensure that no forced labor is involved at any stage. This should include engaging third-party monitoring organizations to ensure objective reporting and transparency. • Ensure all workers, including those in the informal sector, have legally binding contracts that outline their rights, wages, working conditions, and freedom to leave. Provide legal protection for workers in case of disputes. • Partner with local authorities and NGOs to monitor labor practices, particularly in informal sectors, and ensure that workers are protected from exploitation. NGOs often have deeper insights into on-the-ground conditions and can offer support to at-risk workers. • Establish clear and accessible grievance mechanisms for workers to report cases of forced labor or exploitation. This could include anonymous hotlines or third-party reporting mechanisms that allow workers to safely raise concerns. • Engage with communities where plastics waste interventions are being implemented to educate them on forced labor risks and workers' rights. Creating awareness helps prevent forced labor		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
practices and empowers workers to resist coercion. • Provide training for employers, facility managers, and supply chain partners on recognizing and preventing forced labor practices. This should include educating them on the legal consequences and reputational risks of engaging in such practices. • Adopt international ethical standards, such as those provided by the Fair Labor Association (FLA) or Social Accountability International (SAI), to ensure compliance with labor rights throughout the supply chain.				

Risk Significance: Substantial

Event:

During the project implementation, there is a risk that the project activities might involve working conditions that do not meet national labour laws and international commitments, such as exposure to environmental contaminants and length of hours worked.

Causes:

As a result of poor project oversight and lack of effective monitoring and evaluation

Impact:

Which will result in noncompliance and violation of national/international labor standards, causing security and legal repercussions, as well as reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Conduct thorough due diligence to ensure that all stakeholders in the plastic waste and circular economy value chain complies with both national and international labor standards. • Educate workers and managers about labor rights and safety standards. Build capacity in informal sectors to improve compliance. • Obtain certifications like Fair Trade or other labor-related certifications. Conduct regular audits to ensure compliance with labor laws. • Collaborate with civil society organizations and governmental agencies to ensure compliance with labor laws and support labor rights initiatives. • Develop the Occupational Health and Safety Plan.		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

Risk Significance: Substantial

Event:

During the project implementation, there is a risk that child labour may be involved in the project interventions

Causes:

As a result of poverty and extremely low family income in South Asia, Southeast Asia and the Pacific Regions, children are either required by their parents or are willing to support their family financial position

Impact:

Which will result in exploitation and violation of children's right, non-compliance with UNDP policy and international labour standards, and cause reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Develop Occupational Health and Safety (OH&S) Plan that ensures child labour is not directly/indirectly involved in the programme at country-specific level. • Provide OH&S Training covering the prohibition of child labour in the project at the country-specific level. • Conduct Monitoring & Evaluation to ensure no child labour is used in the project at the country-specific level. • Conduct regular audits of the entire supply chain to ensure no child labor is used at any stage of the process, especially in informal sectors. Use third-party monitoring organizations to ensure objectivity. • Partner with local authorities and NGOs to ensure adherence to labor standards, improve enforcement, and create alternatives for children and families at risk of engaging in child labor. • Support initiatives that provide educational opportunities and social services for children in communities where plastics waste and recycling are key industries. This may include providing scholarships, vocational training, or family support programs to reduce the need for child labor. • Engage with local communities to raise awareness about the dangers of child labor and the long-term benefits of education. Establish reporting mechanisms where child labor violations		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
can be anonymously reported. • Adopt international certifications and adhere to frameworks such as Fair Trade or other ethical sourcing certifications that ensure labor rights are respected throughout the supply chain. • Encourage businesses involved in circular economy interventions to sign child labor-free pledges and commit to robust labor rights policies. These initiatives should include clear contractual obligations and penalties for violations.				

Risk Significance: Substantial

Event:

There is a risk that discriminatory working conditions and/or lack of equal opportunity, discrimination against women, migrants, ethnic minorities and low-income workers might be lead by the project interventions or involved during the project implementation.

Causes:

As a result of cultural and social norms as well as the weak legal frameworks and enforcement in some of the project countries

Impact:

Which will result in in noncompliance and violation of labor standards and UNDP policy, as well as potential reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Implement policies to ensure that hiring practices are inclusive and non-discriminatory. This can be supported by specific quotas or targets for the inclusion of women, minorities, migrants, and people with disabilities. • Conduct regular pay audits to ensure that all workers, regardless of gender, ethnicity, or other factors, receive equal pay for equal work. Transparency in pay structures should be emphasized to identify and rectify pay gaps. • Create programs aimed at providing training, upskilling, and career advancement opportunities for women, ethnic minorities, and mi-grant workers. This will help bridge the skills gap and create path-ways for underrepresented groups to access higher-paying roles. • Ensure that companies involved in circular economy interventions adopt gender-sensitive and diversity-inclusive policies. This could include workplace flexibility for caregivers, anti-discrimination policies, and specific initiatives to support the career advancement of women and minorities. • Provide all workers with appropriate PPE and enforce health and safety standards equally. Ensure facilities such as restrooms and sanitation areas are adequate for all genders. • Support initiatives that enable women, migrants, and minorities to engage in entrepreneurship within the plastics waste sector. Offer grants, mentorship programs, or microfinancing to help them start their own businesses or rise to leadership positions. • Establish mechanisms for workers to report cases		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
of discrimination or unequal treatment anonymously. Independent third-party audits should be conducted to ensure compliance with anti-discrimination policies. • Partner with NGOs, trade unions, and international organizations to promote inclusion and equal opportunity. These partnerships can help strengthen labor rights and raise awareness of the importance of non-discriminatory practices.				

Risk Significance: Substantial

Event:

There is a risk that the project intervention and activities might involve or lead to occupational health and safety risks (i.e., contact with chemical hazards during waste picking and sorting).

Causes:

As a result of dermal contact with plastics waste, inhalation of toxic fumes and ingestion of contaminants during waste picking and sorting.

Impact:

Which will result in adverse health effects on the waste workers, particularly the ones in the informal sector and women, and cause reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Ensure that all workers, including informal waste pickers, have access to appropriate PPE, such as gloves, masks, protective eye-wear, and		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as

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RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
clothing. Employers or project organizers should distribute PPE and provide training on its proper use. • Conduct regular training programs for workers on the health risks associated with handling plastics and chemical hazards, including proper waste sorting techniques, safe disposal of hazardous mate-rials, and the importance of using PPE. • Provide specific training for women and vulnerable populations, ensuring that they understand the reproductive health risks associated with exposure to certain chemicals. • Develop and implement formal health and safety protocols, including safe handling, sorting, and processing of plastic waste. These protocols should cover procedures for identifying and separating hazardous waste from recyclable plastics. • Set up dedicated work areas with proper ventilation and safety measures in recycling facilities to reduce exposure to harmful fumes and chemicals during plastic processing. • Encourage the adoption of safe and environmentally friendly recycling technologies that minimize the release of toxic substances during plastic processing. Invest in closed-loop systems that prevent the emission of harmful fumes. • Governments and project organizers should monitor workplaces to ensure compliance with occupational health and safety standards. This includes regular inspections of recycling facilities and informal waste picking sites. • Strengthen enforcement of existing OHS				the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
regulations to ensure that all workers, including those in the informal sector, are protected from chemical hazards. • Implement health monitoring programs for workers exposed to chemical hazards in the waste management sector. This should include regular medical check-ups to identify early signs of health problems related to toxic exposures. • Provide access to healthcare and treatment for workers suffering from occupational illnesses due to chemical exposure, including respiratory and reproductive health services. • Encourage the formalization of the waste management sector to bring informal waste pickers and recyclers under regulated work environments where OHS standards are enforced. This can im-prove access to health and safety protections for all workers.				

Principle & Standard: Standard 8: Pollution Prevention and Resource Efficiency

Risk Significance: Substantial

Triggered Principles: ✓

Risk Significance: Substantial

Event:

There is a risk that the Materials Recovery Facilities would generate hazardous and non-hazardous waste during their operations and maintenance.

Causes:

As a result of normal operations and maintenance of the Materials Recovery Facilities.

Impact:

Which will result in environmental contamination, non-compliance with UNDP Social and Environmental Standards, as well as reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Implement stringent sorting processes to segregate hazardous and non-hazardous waste at the source. This reduces the risk of cross-contamination and ensures that hazardous waste is handled appropriately. • Use optical sorting and other advanced technologies to improve the identification and separation of recyclable plastics from non-recyclable or contaminated plastics. • Establish dedicated storage areas for hazardous waste (e.g., chemicals, solvents, contaminated plastics) and ensure that these areas are properly labeled and secured. • Partner with licensed hazardous waste disposal facilities to ensure that hazardous materials are treated and disposed of according to legal and environmental standards. • Regularly maintain equipment and manage waste generated during maintenance activities (e.g., oils, solvents, cleaning materials) by implementing a waste minimization plan that includes safe handling, storage, and disposal of these materials. • Use environmentally friendly lubricants and biodegradable cleaners to reduce the environmental impact of waste generated from maintenance operations. • Install wastewater treatment systems to remove contaminants from water used in plastic washing processes, ensuring that wastewater discharge complies with environmental regulations. • Treat and safely dispose of any sludge or residuals generated during water treatment to prevent environmental pollution. • Develop partnerships with plastics manufacturers to encourage the production of more recyclable plastics and reduce the amount of low-		10/31/2027	Not Started	

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
grade or composite plastics entering the waste stream. • Explore alternative uses for non-recyclable plastics, such as waste-to-energy projects or plastic-to-fuel technologies, to minimize landfill waste. • Train workers on the proper handling and disposal of both hazardous and non-hazardous waste, including the importance of segregating waste and following safety protocols during operations. • Provide ongoing education on the environmental risks associated with waste mismanagement and the benefits of waste reduction strategies.				

Risk Significance: Substantial

Event:

There is a risk that the MRF is not operated and maintained properly over time, during the project implementation and after funding for the project ends.

Causes:

As a result of deterioration of MRF equipment or inadequate funding of MRFs.

Impact:

Which will result in plastics waste pollution of the environment, and cause reputational damage to UNDP and the Project Donor.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Develop a Financial Management Plan to ensure continued funding for the MRFs. • Seek Public-Private Partnerships (PPP) to		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
ensure continued funding for the MRFs. • Use the plastics waste circular interventions to fund continued operations and maintenance of MRFs. • Install and maintain emission control systems in recycling and processing facilities, such as scrubbers, filters, and closed-loop systems, to capture pollutants and prevent them from being released into the air or water. • Use advanced technologies, such as gasification or plasma arc recycling, which generate fewer emissions compared to traditional incineration. • Implement comprehensive wastewater treatment systems in recycling facilities to ensure that contaminants from the washing process are removed before water is discharged into the environment. • Regularly monitor and treat leachate from landfills or waste storage sites to prevent soil and groundwater contamination. • Prioritize mechanical recycling over incineration or energy recovery methods to minimize air pollutant emissions. • Promote the use of recyclable and non-toxic plastics to reduce the risk of chemical contamination from additives. • Ensure strict compliance with environmental regulations governing emissions, wastewater discharge, and waste management. Regular environmental impact assessments should be conducted to identify and address potential risks. • Continuous air, water, and soil quality monitoring should be implemented in and				the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
around the project area to detect any harmful pollutants and take corrective action when necessary. • Adopt best practices in the mechanical recycling process to minimize the generation of microplastics. Promote innovations in plastic design that reduce the likelihood of microplastic formation. • Implement buffer zones between recycling facilities and sensitive ecosystems or residential areas to protect communities and wildlife from pollutant exposure. • Provide alternative livelihoods and environmental education to informal waste pickers to discourage open burning practices and promote safe waste management practices.				

Principle & Standard: Human Rights

Risk Significance: Moderate

Triggered Principles: ✓

Risk Significance: Moderate

Event:

During the project implementation, there is a risk that rights-holders (e.g. project-affected persons and beneficiaries particularly those from marginalized groups) may not have the opportunity to become aware of the potential benefits of the project or may not have the capacity to participate in or claim other rights in respect of project activities.

Causes:

As a result of lack of stakeholder engagement prior to commencement of project implementation as well as different levels of (i) awareness and understanding of rights; (ii) legal and institutional support; (iii) socio-economic factors; (iv) cultural and social barriers; (v) GRMs; (vi) social organization and mobilization capacity; and (vii) digital divide and communication gaps among the target groups.

Impact:

Which will result in lack of participation from target beneficiaries, failure of achieving the envisioned results of programme, and possible reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Develop Stakeholder Engagement Plan (SEP) at the country-specific level. • Conduct all-inclusive stakeholder engagement. • Conduct stakeholder engagement as per international best practice management at the country-specific level. • Develop Grievance Redress Mechanism (GRM) at the country-specific level. • Develop Environmental and Social Management Framework (ESMF) at the country-specific level. • Awareness Campaigns: Ensure that rights-holders are informed about their rights through targeted education campaigns, using accessible languages and formats (e.g., visual, oral). • Legal Support: Provide affordable or free legal aid to help rights-holders navigate the complexities of claiming their rights. • Strengthening Grievance Mechanisms: Develop or improve mechanisms to ensure they are accessible, transparent, and capable		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
of resolving issues in a timely manner. • Community Empowerment: Support community organizing and advocacy groups that represent the interests of vulnerable populations. • Capacity Building: Provide training for rights-holders in advocacy, negotiation, and legal literacy to enhance their ability to engage with duty-bearers. • Multi-Stakeholder Collaboration: Partner with civil society organizations, media, and legal bodies to create stronger support networks for rights-holders.				

Risk Significance: Moderate

Event:

During the project implementation, there is a risk that duty-bearers (e.g. government agencies) do not have the capacity to implement a plastic wastes and circular intervention programme.

Causes:

As a result of lack of technical capacity of science-based knowledge on plastics waste management and circular intervention, lack of regards to gender sensitivity and, of duty-bearers during project implementation.

Impact:

Which will result in the failure to develop the systematic approach for plastic waste management and adopt/practice at the local level, preventing the implementation of BAT/BEP, limiting or inequitable distributing the envisioned project benefits.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Conduct a comprehensive needs assessment to identify the specific skills, resources, and infrastructure required for successful project implementation. Compare the current capacity of the agency with the identified needs to identify any gaps or deficiencies. Develop a country-level Gap Analysis Report. • Develop a capacity building plan to address identified gaps and enhance the agency's ability to meet its obligations. • Stakeholder engagement with relevant stakeholders to gather their perspectives and identify potential challenges or barriers of the duty-bearers. • Provide technical capacity training on use, occurrence, environmental fate and transport and environmental impact of plastics waste on the environment to duty-bearers at country-level. • Provide technical capacity training on plastics waste and circular intervention to duty bearers at a country-level. • Provide technical capacity training on plastics waste and circular intervention to external stakeholders that will be involved in project implementation at the country-level. • Provide appropriate gender sensitivity training for duty-bearers and project staff at the country-level.		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

Principle & Standard: Accountability

Risk Significance: Moderate

Triggered Principles: ✓

Risk Significance: Moderate

Event:

During the project implementation there is a risk that project stakeholders will express their grievances with regards to: (i) ineffective waste management; (ii) environmental impacts; (iii) economic impacts; (iv) social equity and fairness; and (v) government inefficiency.

Causes:

As a result of the transition from linear economy to circular economy.

Impact:

Which will result in reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Conduct Stakeholder Engagement: Engage with potentially affected stakeholders early in the project planning process to identify and address their concerns. • Develop a Communication Plan: Develop a clear and effective communication plan to keep stakeholders informed about project progress and address their questions and concerns. • Consider Social Equity: Ensure that the benefits and burdens of the project are distributed equitably, and that marginalized communities are not disproportionately affected. • Implement Strong Governance: Establish effective governance structures and mechanisms for accountability to ensure that		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
the project is implemented efficiently and effectively. • Monitoring and Evaluation: Continuously monitor and evaluate the project's progress and impact and be prepared to make adjustments as needed to address any issues or concerns that arise.				

Principle & Standard: Standard 3: Community Health, Safety and Security

Risk Significance: Moderate

Triggered Principles: ✓

Risk Significance: Moderate

Event:

There is a risk that failure of structural elements of the project (e.g., the MRF) will cause harm or losses.

Causes:

As a result of poor engineering design or use of substandard construction materials.

Impact:

Which might result in human injury, financial losses, delays in project implementation, accumulation of plastics waste, delays in provision of recycled plastics to downstream customers. as well as reputational damage to UNDP and Project Donor.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Ensure that all buildings and facilities are designed and constructed according to local and international safety standards, with considerations for local environmental risks. • Use high-quality materials and experienced contractors during the construction phase. • Regularly inspect and maintain infrastructure to identify and address any weaknesses or vulnerabilities. • Implement emergency response plans in case of structural failure to minimize harm to workers and nearby communities. • Design storage and containment facilities with adequate capacity and structural integrity, considering potential overloading scenarios. • Use materials resistant to corrosion or degradation, especially for hazardous waste containment. • Implement regular inspections and maintenance protocols to ensure structures remain sound. • Develop disaster response and waste containment plans in case of structural failure to minimize environmental and health impacts. • Ensure that all vehicles used in the project are well-maintained and appropriate for the loads they carry. • Develop transportation routes that minimize the risk of accidents or damage to infrastructure. • Regularly assess the condition of transportation infrastructure and coordinate		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
with local authorities to address any issues. • Train drivers and logistics personnel in safe transport practices and emergency response procedures in case of accidents. • Conduct a disaster risk assessment and design all infrastructure to be resilient to the types of natural disasters that are common in the project area. • Invest in disaster-resistant construction materials and techniques. • Develop emergency response and disaster recovery plans to ensure the project can continue in the aftermath of a natural disaster. • Secure insurance for project infrastructure to cover potential damages from natural disasters. • Ensure all construction and operational staff are properly trained and certified to perform their tasks. • Establish strict quality control measures during construction to ensure adherence to safety standards and design specifications. • Conduct regular safety audits and inspections during both construction and operation phases to identify and address potential is-sues early. • Develop a culture of safety among workers, emphasizing the importance of adhering to operational protocols and reporting potential hazards. • Secure comprehensive insurance coverage for all critical infrastructure to protect against financial losses due to structural failures. • Build contingency funds into the project				

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
budget for unexpected repairs or maintenance needs. • Develop a strong project governance structure to ensure financial oversight and risk management practices are in place.				

Principle & Standard: Standard 6: Indigenous Peoples

Risk Significance: Moderate

Triggered Principles: ✓

Risk Significance: Moderate

Event:

During project implementation, there is a risk that the collection of plastics wastes may occur in areas where Indigenous peoples are present.

Causes:

As a result of inadequate stakeholder engagement and absence of free, prior and informed consent (FPIC) as well as the unique rights, social structures, and environmental relationships of Indigenous communities.

Impact:

Which could impact the project's success as well as the wellbeing and rights of Indigenous peoples.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Engage in FPIC processes, ensuring that IPs are fully informed about the project, and		10/31/2027	Not Started	The risk owner and treatment owner will be decided at the country-level

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
their consent is obtained before any activities take place on their lands. • Conduct a thorough land rights assessment to identify areas of cultural or economic importance to Indigenous communities. • Work closely with Indigenous leaders and representatives to ensure that their land rights are respected and integrated into the project's planning and implementation. • Explore alternatives to using Indigenous lands, where feasible, or provide adequate compensation and restoration if land use is unavoidable. • Actively involve Indigenous peoples in the design, planning, and decision-making processes of the project. • Recognize and integrate traditional knowledge into waste management practices where applicable, such as composting, resource recovery, and ecosystem preservation. • Provide training and capacity-building opportunities to enable Indigenous peoples to participate in leadership roles within the project. • Foster mutual respect by ensuring Indigenous communities are regarded as partners, not beneficiaries, of the project. • Conduct a comprehensive ESIA that includes an evaluation of risks to Indigenous lands and resources. • Implement buffer zones and strict environmental safeguards to prevent pollution and waste leakage into Indigenous territories.				SESP processes, as the specific risk mainly applies to the child projects. The regional hub will provide strategic oversight and coordination for the COs regarding risk management.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	COMMENTS
• Develop a monitoring and grievance redress mechanism that allows Indigenous communities to report and address environmental harm caused by the project. • Incorporate Indigenous environmental protection practices into waste management strategies. • Ensure the project is culturally sensitive by conducting cultural impact assessments and working with anthropologists or cultural specialists. • Design the project to support traditional livelihoods, such as incorporating Indigenous knowledge into circular economy practices, like recycling or resource recovery. • Provide mechanisms for cultural protection, such as protecting sacred sites and ensuring project activities do not interfere with important cultural practices. • Implement inclusive benefit-sharing models to ensure that Indigenous communities receive fair and equitable benefits from the project. • Develop targeted economic inclusion programs to ensure Indigenous peoples have access to jobs, training, and business opportunities related to the project. • Implement local procurement policies that prioritize contracting Indigenous-owned businesses for project-related services.				

Questionnaire:

Step 1 - Integrate the SES Programming Principles Status: Complete

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 (32000 Characters maximum)

Improving waste management in Asia and the Pacific islands is among the most urgent environmental issues. Although plastic waste is not the largest share of waste stream generated in Asia-Pacific countries, it has become a growing concern considering that these are non-degradable synthetic products, thus their negative environmental and human health-related impacts persist over generations and can be transboundary. Plastic pollution chokes wildlife contaminates soil and groundwater and can cause serious health impacts. Humans are exposed to toxic chemicals and microplastics through inhalation, ingestion, and direct skin contact, all along the plastic lifecycle, while microplastics can harm our health, and act as vessels for pathogens to enter our system, increasing the spread of diseases.

The harmful impact of plastics on human health and ecosystems is complex and multi-layered, contributing to its unpredictability. For instance, the exact composition and potential toxicity of the additives used in making plastic varies based on the kind of plastics, and this makes it extremely difficult to predict the specific health and environmental effects as humans and the environment are affected by a complex mix of plastics. Moreover, plastics can accumulate and persist in the environment for several decades and centuries. In addition to this, the numerous pathways of exposure makes it complex to predict the true effects of plastic contamination as humans and other living organisms are exposed to plastics through various channels including ingestion of food, inhalation of airborne micro-plastics, among others.

Therefore, the Management of Plastics Waste and Circular Interventions on Plastics in South Asia, Southeast Asia and the Pacific Project aims to address the critical issue of plastic waste management in nine countries across South Asia, Southeast Asia and the Pacific. The project is designed to support the transition to a circular economy by improving plastic waste management, promoting recycling, and reducing plastic leakage into the environment. By focusing on these targeted areas, the project will contribute to better public health, environmental protection, and the development of sustainable waste management practices and contribute to collecting at least 53,930 tons of plastics over the project implementation and support 69,600 direct beneficiaries.

The Project will also ensure mainstreaming of human rights through promotion of accountability and the rule of law, participation and inclusion, equality and non-discrimination. It will ensure meaningful, effective and informed participation of stakeholders in the formulation, implementation monitoring and evaluation of the Project. The Project will benefit persons with disabilities. It will support the various governments to adhere to their human rights obligations by preserving human life that could be lost as a result of health illnesses attributable to plastics toxicity. The Project will empower individuals and groups, particularly the most marginalized, to realize their rights and that they can fully participate in the Project outcomes.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment (32000 Characters maximum)

There is an explicit understanding of the unique needs of women in the plastics waste and circular interventions that the project seeks to address as well as to leverage to achieve project objectives. The establishment of the Project is expected to not only lead to better health outcomes, but also reduce direct and

indirect financial burdens and increase the time the women have for leisure, work, or education and limits her presence in unsafe streets as part of household plastics recycling activities. Also, by leveraging their participation in sharing the knowledge and experiences of plastics waste and circular interventions and climate change issues, the project ensures that the women are empowered to activity manage climate-induced health challenges, lead transformative changes in their communities, and have their voices heard in the process. In particular, the following activities are envisioned to improve gender equality and women's empowerment in the context of plastics waste and circular interventions:

Bangladesh:

Activity 1.2: Workshop and policy dialogues on plastic waste management "Addressing the gender issue".

Activity 2.4: Deliver gender-sensitive training on BEP for plastic collector, sorting and recycling stakeholders to improve capacities to identify and improve technical practices in handling storing, recycling and disposing of plastic contaminated with POPs flame retardants or other hazardous wastes.

Activity 3.5: Conduct gender analysis in 3 cities Chattogram, Cox's Bazar & Tangail) of waste value chain.

Activity 4.1: Enhancing health and safety arrangements of plastic waste worker specially women (and their children) engaged in the plastic waste value chain.

Activity 4.2: Gender-sensitive communication and outreach.

Bhutan:

Activity 1.1: Stakeholder consultation to develop strategy for effective plastic recovery.

Activity 3.2: Develop capacity of informal waste collectors (who are mostly women) by integrating them into the plastics value chain, especially in collection and recycling.

Cambodia:

Activity 1.3: Improve the situation of informal waste collectors (who are mostly women) by integrating them into the plastics value chain, especially in collection and recycling.

Activity 2.1: Conduct gender sensitive strategic communication and awareness raising using social media and websites.

India:

Activity 1.1: Support 10,000 waste workers to enroll in Government social protection systems.

Activity 1.2: Awareness and Outreach to 50,000 waste workers on rights and entitlements through Helpline.

Maldives:

Activity 3.1: Information and guidelines on plastics and waste management strengthened in a gender-responsive manner.

Philippines:

Activity 2.3: Conduct stakeholder consultations to solicit feedback and endorse proposed policies and ordinances.

Sri Lanka:

Activity 1.2: Identify the locally relevant strategies and key entry points to transform local plastic consumption and waste management, enhance linked circular economies to bridge gaps, improve efficiencies, strengthen livelihoods (including for women & vulnerable groups), and reduce plastic pollution.

Vietnam:

Activity 2.2.3: Develop and implement a harmonized responsible sourcing framework within the plastic recycling value chains, delivering benefits to informal waste workers.

Briefly describe in the space below how the project mainstreams sustainability and resilience (32000 Characters maximum)

The project results are contributing to the Regional Programme Development Outcome 1/Output 1.4: Sustainable, scalable and innovative solutions and strategies for nature, climate and energy transformation strengthened through enhanced 'climate promise', nature-based solutions, and transitioning to clean energy and zero-carbon development. Each child project in the target countries also mainstreams sustainability and resilience by contributing to the respective CPD outcomes/outputs as follows:

Bangladesh: The project contributes to the Country Programme Document (CPD) Outcome 2/Output 2.3. Government actors, the private sector and civil society demonstrate enhanced commitment and capacities to provide efficient oversight functions for environmental policies and legal frameworks, identifying financing solutions, and prioritizing green investments.

Bhutan: The project will play a critical role in managing a sustainable environment, reducing disaster risks and combating climate change. By focusing on reducing, repurposing and reduction of plastic waste, the project will address the environmental impact of plastic pollution which is a significant contributor to ecosystem degradation. The project aims to develop a circular economy business model together with the formal and informal waste handlers, private sectors and local governments to improve the waste management practices. The project contributes to UNSDCF outcome 3 (By 2028, Bhutan's Environment remains sustainably managed, and its people are more resilient to disaster risks and climate change and CDP Outcome 2.

Cambodia: The project contributes to the CPD indicator 1.2.by promoting circular economy (CE) to reduce of pollution and improved consumption behaviors and production practices.

India: The project aligns with the UNDP Strategic Plan 2022-2025 and the Country Programme Document (2023-2027), particularly focusing on: Outcome 2: No one left behind, with a focus on equitable access to opportunities and a rights-based approach to human agency and development. Particularly, the project contributes to Output 2.3: Expansion of robust and inclusive social protection systems, improving access to assets and services for vulnerable groups, including marginalized populations and waste-pickers in urban areas. UNDP will contribute to the promotion of shock-responsive social protection systems by enhancing access to government schemes and entitlements. In less extent, le project contributes to Outcome 3: Climate-smart solutions, sustainable ecosystems, and resilient development for reduced vulnerability. In line with circular economy principles, UNDP will support reform initiatives that foster a clean and sustainable urban environment. This includes contributing to the Swachh Bharat Mission, working towards phasing out single-use plastics and integrating inclusive green economy principles into the operations of local urban bodies. The programme will also focus on environmentally sound plastic waste management and explore innovative models to tackle plastic pollution, collaborating with local urban bodies and waste pickers. Under this, the project contributes to Output 3.2: Innovative solutions developed, demonstrated and upscaled at national and subnational levels for vulnerable communities and businesses to benefit from sustainable management of natural resources (land, water, air), chemicals and circular economy.

Maldives: The project contributes to the CPD Outcome 2/Output 2.3 (Policies, regulatory frameworks and capacities at national/subnational levels strengthened for sustainable management of water and waste resources) and UNSDCF Outcome 3 (By 2026 National and subnational institutions and communities in Maldives, particularly at risk populations, are better able to manage natural resources and achieve enhanced resilience to climate change, disaster impacts, natural and human-induced hazards, and environmental degradation, inclusively and in a sustainable manner).

Nepal: The project contributes to the CPD Outcome 1/Output 1.2: Expanded access to sustainable livelihoods and income for women, youth, poor and other marginalized groups. In addition, this project directly contributes to CPD indicator 1.2.4: Innovative enterprises promoted and sustained to foster green and circular development and reduced environmental pollution.

Philippines: The Project contributes to the UNSDCF, particularly on Outcome 3: By 2028, all people benefit from just transition to low-carbon, climate-resilient development, sustainable management of environment, natural resources and biodiversity and strengthened resilience to disasters and natural hazards. Under Output 3.2, the project will focus on strengthening the capacities of institutions and communities to facilitate an inclusive and equitable transition towards a low-carbon society and circular economy. Additionally, the Project aligns with the current CPD (2024-2028) of the CO by supporting Outcome 3.1, particularly in developing and promoting relevant policies, strategies, and local actions to support the NDC implementation. This will be achieved by enhancing the capacities to implement circular economy and sustainable urban development approaches.

Sri Lanka: The project contributes to UNSDCF Outcome 3/UNDP Outcome 2 by introducing and promoting efficient plastic waste management that will in turn contribute to enhancing community resilience to disaster risks caused by climate change. The project interventions will reduce plastic pollution and mitigates aggravation of disaster impacts (i.e., intensified floods in urban areas due to clogging of drainage systems), as well as reducing threats to environment such as biodiversity, especially fauna, contamination of environment with microplastics, etc. By developing and implementing gender-sensitive, pro-poor strategies for plastic waste management, the project ensures that vulnerable communities benefit from strengthened livelihoods and increased incomes. The dissemination of lessons learned and best practices across all local authorities in Sri Lanka further supports sustainable natural resource management and biodiversity conservation. By sharing innovative practices, the project aligns with CPD Output 2.1 and 2.3, contributing to local level green growth while addressing the environmental, social, and economic dimensions of plastic waste management.

Vietnam: The project contributes to CPD Outcome 2 “Climate Change, disaster resilience and environmental sustainability”, aiming to help people in Viet Nam, especially those at risk of being left behind, will benefit from, and contribute to safer and cleaner environment resulting from effective mitigation and adaptation to climate change, disaster risk reduction and resilience building, promotion of circular economy, clean and renewable energy, and the sustainable management of natural resources. In specific, project activities are aligned with Output 2.1 “Policies and solutions designed and implemented for transformation to low-carbon development, circular economy and environmental protection.

Briefly describe in the space below how the project strengthens accountability to stakeholders (32000 Characters maximum)

A National Advisory Group (NAG) will be established, which includes representatives from key implementing partners and stakeholders. The NAG will be comprised of the representatives of contributing development partners, non-governmental organizations (NGOs), civil society organizations (CSOs), and academia, and chaired by the UNDP Country Office (CO) Project Management Unit (PMU) Project Manager (PM). NAG chairs, or Resident Representatives for participating countries, will attend the Project Board meeting as beneficiary representatives. The Project Board will meet at least once a year (or more often, as required) to review implementation and provide detailed substantive guidance. A stakeholder feedback and response mechanism will also be established to help ensure substantive and effective stakeholder engagement, including through mechanisms to respond to complaints from project-affected people (e.g., grievance redress mechanism, feedback and stakeholder response mechanisms).

The project supports the meaningful participation and inclusion of all stakeholders, particularly marginalized individuals and groups. The project will strengthen the capacity of LAs/LGUs to manage plastics waste and circular intervention, which emphasizes the jurisdiction of LAs/LGUs over municipal landfills, and the Local Government Code, which specifically provides for the administrative authority of the LAs/LGUs to control waste management activities, limit access to waste management units and Material Recycling Facilities (MRFs), prescribed zones for different uses and collect taxes of fees from the use of MRFs. The Project will engage with different stakeholders through capacity building, and access to knowledge products that the project will generate.

The project will develop a country-level Grievance Redress Mechanism (GRM) prior to project implementation to ensure that affected communities have an avenue to file their complaints and grievances. The project will have an Accountability Mechanism, composed of Stakeholder Response Mechanism (SRM) and Compliance Review (CR). The SRM helps project affected stakeholders to jointly resolve their concerns and disputes. The Compliance Review, on the other hand, is an avenue for affected persons or groups to respond to claims that UNDP is not in compliance with its Social and Environmental Standards. Stakeholders will be informed of the project’s Accountability Mechanism in various consultations and through the Communication, Education and Public Awareness program.

Step 2.1 - SES Risk Screening Checklist (Programming Principles)

Status: Complete

Human Rights

P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	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 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?	Yes
P.6 Restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7 Exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No

Gender Equality and Women's Empowerment

P.8 Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No

Would the project potentially involve or lead to:

P.9 Adverse impacts on gender equality and/or the situation of women and girls?	No
P.10 Reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	Yes
P.11 Limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?	No
P.12 Exacerbation of risks of gender-based violence?	No

Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below

Accountability

Would the project potentially involve or lead to:

P.13 Exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	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

Step 2.2 - SES Risk Screening Checklist (Project-Level Standards)

Status: Complete

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

Would the project potentially involve or lead to:

1.1 Adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	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?	No
1.4 Risks to endangered species?	No
1.5 Exacerbation of illegal wildlife trade?	No
1.6 Introduction of invasive alien species?	No
1.7 Adverse impacts on soil?	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?	No
1.12 Handling or utilization of genetically modified organisms/living modified organisms?	No
1.13 Utilization of genetic resources?	No
1.14 Adverse transboundary or global environmental concerns?	No

Standard 2: Climate Change and Disaster Risks

Would 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	No

2.3 Direct or indirect increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?	No
2.4 Increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No

Standard 3: Community Health, Safety and Security

Would the project potentially involve or lead to:

3.1 Construction and/or infrastructure development (e.g. roads, buildings, 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

Standard 4: Cultural Heritage

Would the project potentially involve or lead to:

4.1 Activities adjacent to or within a Cultural Heritage site?	No
4.2 Significant excavations, demolitions, movement of earth, flooding or other environmental changes?	No
4.3 Adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4 Alterations to landscapes and natural features with cultural significance?	No
4.5 Utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No

Standard 5: Displacement and Resettlement

Would the project potentially involve or lead to:

5.1 Temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2 Economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions - even in the absence of physical relocation)?	No
5.3 Risk of forced evictions?	No
5.4 Impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No

Standard 6: Indigenous Peoples

Would the project potentially involve or lead to:

6.1 Areas where indigenous peoples are present (including project area of influence)?	Yes
6.2 Activities located on lands and territories claimed by indigenous peoples?	Yes
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
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?	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

Standard 7: Labour and Working Conditions

Would the project potentially involve or lead to: (note: applies to project and contractor workers)

7.1 Working conditions that do not meet national labour laws and international commitments?	Yes

7.2 Working conditions that may deny freedom of association and collective bargaining?	No
7.3 Use of child labour?	Yes
7.4 Use of forced labour?	Yes
7.5 Discriminatory working conditions and/or lack of equal opportunity?	Yes
7.6 Occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes

Standard 8: Pollution Prevention and Resource Efficiency

Would the project potentially involve or lead to:

8.1 The release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
8.2 The generation of waste (both hazardous and non-hazardous)?	Yes
8.3 The manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4 The use of chemicals or materials subject to international bans or phase-outs?	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