

Annex 2: Social and Environmental Screening

Project Information	
1. Project Title	United Nations Development Programme – People’s Republic of China - Environmental Governance and Sustainable Development of Wuhai, Inner Mongolia Autonomous Region
2. Project Number	109848
3. Location (Global/Region/Country)	Asia / China / Inner Mongolia Autonomous Region

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

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human - rights based approach
The project will in general terms ensure that activities are in line with the human rights based approach. The project has a strong focus on contributions to further the realization of human rights, reflected by the consideration of improving policy making and enforcement in environmental sustainability, promoting decent employment, and improving livelihoods of local resident communities in Wuhai City. The detailed design of all project activities, in particular sustainable mining, improving of goaf and mining residues, environment friendly livelihoods options generated by refinement of economic structure will embed appropriate interventions to address potential adverse impacts on human rights.
Briefly describe in the space below how the Project is likely to improve gender equality and women’s empowerment
The project conducted a light gender analysis at the institutional and community level by using semi-structured interview techniques, observation and anecdotal information. Gender has been as much as possible attempted to be mainstreamed into the design of outcomes, outputs, detailed activities and project implementation management arrangement. The project has one output with a strong gender, in particular, women’s economic empowerment focus, and has as much as possible ensure that indicators are gender responsive. Additionally, the project includes the set-up of a Women Development Fund, which is designed to increase the accessibility of local resident women in start-up investments capitals, and will implemented by the All China Women’s Federation in Wuhai City.
Briefly describe in the space below how the Project mainstreams environmental sustainability
The strategic objective of the project is to promote the ecosystem remediation and wetland conservation in mining area, explore the model of economic transformation and sustainable development of resource-based cities by piloting demonstration mine management and slag mountain management, piloting new energy sources, promoting biodiversity conservation and ecotourism, and providing project management and technical support. Results from the pilots in the fields of environment governance ad sustainability, renewable energy and environment awareness promotion, etc. will be used to inform municipal and regional policies for improving policy process toward mainstreaming environment sustainability I development planning and decision making.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.	QUESTION 3: What is the level of significance of the potential social and environmental risks? Note: Respond to Questions 4 and 5 below before proceeding to Question 6			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1 - 5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Elements of Project construction, operation, or decommissioning may pose	P = 3 I = 3	Moderate		1. On the basis of the identification and assessment of safety hazards, construction organization design and construction scheme need to be

potential safety risks to local communities				<p>prepared. Also, safety technical measures and temporary power consumption plans on the construction site should be formulated.</p> <p>2. Safety Education, and Legal Education for Project Managers, front-line managers, special equipment officer, and operating worker, will be carried out.</p> <p>3. Equipment Management: all equipment will be assigned specific personnel or staff. Regular check will be carried out.</p>
Risk 2: The Project may pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)	P = 2 I = 3	Low		<p>1. Making sure employees follow all established procedures and perform job duties as trained;</p> <p>2. Making sure all containers are properly labeled and that the material is contained in an appropriate container. Do not use any material not contained or labeled properly. Report any damaged containers or illegible labels to the manager right away;</p> <p>3. All materials will be stored properly in ventilated, dry, cool areas.</p> <p>4. Employees will be trained about emergency procedures such as evacuation procedures, emergency reporting procedures, and procedures for dealing with fires and spills.</p>
Risk 3: The Project may pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning	P = 2 I = 5	Moderate		<p>1. Establishing Standard Operation Procedures (SOPs)</p> <p>2. Establishing ways to protect workers, including developing and implementing safe practices for excavations, chemical handling and storage, electrical work, fire protection, fall protection, and Personal Protective Equipment (PPE) use.</p> <p>3. When engineering controls alone cannot protect worker overexposure to chemicals, noise, or other hazards, the employer must provide PPE.</p> <p>4. Communicating the hazards and training employees.</p> <p>5. Preparing a plan for contractor safety and training.</p>
QUESTION 4: What is the overall Project risk categorization?				
	Select one (see SESP for guidance)		Comments	
	Low Risk	<input type="checkbox"/>		
	Moderate Risk	<input checked="" type="checkbox"/>	Of 3 risks, two are rated “moderate;” one is rated “low.”	
	High Risk	<input type="checkbox"/>		
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?				
	Principle 1: Human Rights	<input type="checkbox"/>		
	Principle 2: Gender Equality	<input type="checkbox"/>		

	and Women's Empowerment		
	1. Biodiversity Conservation and Natural Resource Management	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of biodiversity conservation related targets of the project.
	2. Climate Change Mitigation and Adaptation	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of climate Change Mitigation related targets of the project.
	3. Community Health, Safety and Working Conditions	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of safe and working conditions related targets of the project.
	4. Cultural Heritage	<input type="checkbox"/>	
\	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous people	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	<input checked="" type="checkbox"/>	Risk 1 may have negative implication to achievements of Pollution Prevention and Resource Efficiency

Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
Chair of PA		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..

Annex 3: Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
Principles 1: Human Rights	Answer (Yes/No)
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups?	No
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project affected communities and individuals?	No
Principle 2: Gender Equality and Women’s Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3. Have women’s groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4. Would the Project potentially limit women’s ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes	No
1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4 Would Project activities pose risks to endangered species?	No
1.5 Would the Project pose a risk of introducing invasive alien species?	No
1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No

1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction	No
1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10 Would the Project generate potential adverse trans-boundary or global environmental concerns?	No
1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.	No
Standard 2: Climate Change Mitigation and Adaptation	
2.1 Will the proposed Project result in significant 12 greenhouse gas emissions or may exacerbate climate change?	No
2.2 Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3 Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding	No
Standard 3: Community Health, Safety and Working Conditions	
3.1 Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	Yes
3.2 Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	Yes
3.3 Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4 Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5 Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, and erosion, flooding or extreme climatic conditions?	No
3.6 Would the Project result in potential increased health risks (e.g. from water-borne or other vectorborne diseases or communicable infections such as HIV/AIDS)?	No
3.7 Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	Yes
3.8 Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9 Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage	
4.1 Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No

4.2 Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement	
5.1 Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2 Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3 Is there a risk that the Project would lead to forced evictions?	No
5.4 Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples	
6.1 Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2 Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3 Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.	No
6.4 Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5 Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6 Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7 Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8 Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9 Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency	
7.1 Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or trans-boundary impacts?	No
7.2 Would the proposed Project potentially result in the generation of waste (both hazardous and nonhazardous)?	No
7.3 Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol	No
7.4 Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No