

## ANNEX F. UNDP Social and Environmental and Social Screening Template (SESP)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) for guidance on how to answer the 6 questions.]

### Project Information

Project Information	
1. Project Title	Support to African Peer Review Mechanism (APRM) in MOZAMBIQUE
2. Project Number	
3. Location (Global/Region/Country)	MOZAMBIQUE

### 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 pursue implementation of human rights based approach by ensuring of full participation of national and local level stakeholders, including the government and civil society and elected representatives at appropriate level in line with APRM/AU guidelines which are fully aligned with UN/HR standards. The project will be implementing measures to positively affect local communities mainly through ensuring extensive consultations both with individuals and groups both along the country assessment exercise and in the implementation of the National Plan of Action. These purposes are fully reflected in the RRF and planned activities. APRM methodology includes thorough research including family enquiries to inform the final APRM Country Review Report.

During the project preparation phase, consultation sessions and meetings with relevant stakeholders were undertaken to initiate stakeholder awareness and engagement in the review process. The project design assumes that the consultations during project preparation strengthens the transparency and legitimacy of the proposed project activities, notwithstanding that during project implementation; if required activities can and should be adapted to ensure that the human rights of stakeholders are preserved and/or reinforced. The stakeholder consultations and validation workshop, and awareness-raising dialogues are intended to engage as many key groups as possible to incorporate their diverse perspectives contributing to reduce the risks of marginalizing any stakeholders.

The project will have regular meeting and consultations with relevant stakeholders as foreseen in the APRM guideline and UNDP POPP to ensure human rights approach implementation. APRM project M&E framework was drafted in consultations with stakeholders that could share freely their opinion on the project, its results, and social impact.

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

APRM process and methodologies address gender dimensions clearly that must be considered in the research, reporting and NPoA phases requiring appropriate follow up from responsible institutions. Therefore, UNDP APRM project will contribute to ensure that gender dimension is fully dealt with throughout implementation including by mainstreaming specifically in the project results/activities and indicators and by supporting the stakeholders in integrating their policies and plans. Project staff recruitment will specifically encourage women applicants. Furthermore, gender equality will be captured through its interventions undertaken in the context of the other strategic plan outcomes/outputs. The gender equality outcome serves as framework for monitoring and reporting on gender mainstreaming. The promotion and protection of the rights of women features in the APRM and particularly in the questions and indicators designed to guide research in the four thematic areas. The APRM will specifically measure country performance in the context international and regional treaties pertaining to women, including the Convention on the Political Rights of Women, the Convention on the Elimination of All Forms of Discrimination Against Women, together with the Beijing Platform of Action, the Declaration on the Elimination of Violence Against Women (CEDAW), the Protocol on the Rights of Women in Africa (2003).

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

The project will contribute to Mozambique's efforts to successfully address the challenges of the **2030 Agenda** and achieving the **Sustainable Development Goals**. The project will specifically contribute to SDGs 16 and 17: promote peaceful and inclusive societies for sustainable development and strengthen the means of implementation and revitalize the global partnership for sustainable development. However, the analysis of governance performance in the four APRM thematic areas and the development of corrective actions will contribute to the following SDGs:

<u>APRM Thematic Area</u>	<u>SDGS</u>
1. Democracy and Political Governance	10: Reduced inequalities
2. Economic Governance and Management	7: Affordable and clean energy 8: Decent work and economic growth
3. Corporate Governance	12: Responsible consumption and production 15: Life on land
4. Socio-Economic Development	1: Eradication of poverty 3: Good health and wellbeing 5: Gender equality 13: Climate action

Finally, the project will contribute to the seven African Aspirations expressed in the **African Union's Agenda 2063**: A prosperous Africa based on inclusive growth and sustainable development/An integrated continent, politically united, based on the ideals of Pan Africanism and the vision of Africa's Renaissance/An Africa of good governance, democracy, respect for human rights, justice and the rule of law/A peaceful and secure Africa/An Africa with a strong cultural identity, common heritage, values and ethics/An Africa whose development is people driven, relying on the potential offered by people, especially its women and youth and caring for children/An Africa as a strong, united, resilient and influential global player and partner.

The Project overall environmental impact is expected to be very positive and contributing to the sustainable development of Mozambique by increasing country capacity to review its political and democratic governance and inclusive development performance providing recommendations to improve development and to prevent and mitigate risks. In addition a II phase for the project is foreseen in order to National APRM Forum and Secretariat, which are composed by the different angles of the civil society and government representatives, is able to consistently advocate, mainstream and monitor the APRM process in Mozambique.

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

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i>		<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>	<b>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)?</b>	
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>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.</b>
<b>Principles 1: Human Rights</b>				
<b>Risk 1:</b> 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?	I = 4 P = 2	<b>Moderate</b>	The country is going through a very unstable and challenging political, peace and governance environment. Mismanagement of public finances lead the country in a very difficult situation that affects the most vulnerable. The 2 <sup>nd</sup> APRM country review exercise will bring up all types of issues that will be subject to discussions in extensive public consultations. The possibility of the review findings feed largely social discussion on government performance can cause unexpected reactions both from CS and the Government	Ensure CS at all levels awareness and engagement in the APRM process and country review exercise as unique opportunity for CS to contribute for the benefit of the country. Sensitize government to accommodate and respond to CS concerns and aspirations.
<b>Risk 2:</b> Is there a likelihood that the Project would exclude any potentially affected stakeholders, marginalized groups, from fully participating in decisions that may affect them?	I = 2 P = 2	<b>Low</b>	The APRM review exercise is of an inclusive and consultative nature. Despite this there is no 100% certainty that all marginalized groups will be represented on the consultation and the surveys.	Ensure that vulnerable groups are captured in the thematic research and survey work to be conducted by the Project. Monitoring tools include capturing of disaggregated data including of the marginalized groups.
<b>Risk 3:</b> Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	I = 3 P = 2	<b>Low</b>	The project will be implemented using NIM modality. Implementing partner HACT assessment will be	Micro HACT assessment will be conducted to the IP. As part of risk mitigation, the Project plans to provide financial and

<b><i>Risk Description</i></b>	<b><i>Impact and Probability (1-5)</i></b>	<b><i>Significance (Low, Moderate, High)</i></b>	<b><i>Comments</i></b>	<b><i>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.</i></b>
			conducted to ensure compliance with UNDP PM policies including risk mitigation.	technical capacities to ensure full project implementation and accountability
<b><i>Risk 4:</i></b> Is there a risk that rights-holders do not have the capacity to claim their rights?	I = 2 P =1	<b>Low</b>	Despite COS development in Mozambique it is not evident that all citizens are able to express their aspirations and claim for their rights	Ensure as much as possible that rights holders voices are captured in the thematic research and survey work to be conducted by the Project.  Monitoring tools include capturing of disaggregated data including of the marginalized groups.
<b><i>Risk 5:</i></b> Have local communities or individuals, given the opportunity raised human rights concerns during the stakeholder engagement process?	I = 3 P =3	<b>Moderate</b>	The project will pursue implementation of human rights based approach by ensuring of full participation of national and local level stakeholders, including the government and civil society and elected representatives at appropriate level in line with APRM/AU guidelines which are fully aligned with UN/HR standards.	The project will be implementing measures to positively affect local communities mainly through ensuring extensive consultations both with individuals and groups both along the country assessment exercise and in the implementation of the National Plan of Action. These purposes are fully reflected in the RRF and planned activities. APRM methodology includes thorough research including family enquiries to inform the final APRM Country Review Report. During the project preparation phase, consultation sessions and meetings with relevant stakeholders were undertaken to initiate stakeholder awareness and engagement in the review process. The project design assumes that the consultations during project preparation strengthens the transparency and legitimacy of the proposed project activities, notwithstanding that during project implementation; if required activities can and should be adapted to ensure that the human rights of stakeholders are preserved and/or reinforced. The stakeholder consultations and validation workshop, and awareness-raising dialogues are intended to engage as many key groups as possible to incorporate their diverse perspectives contributing to reduce the risks of marginalizing any stakeholders. The project will have regular meeting and consultations with relevant stakeholders as foreseen in the APRM guideline and UNDP POPP to ensure human rights approach implementation. APRM project M&E framework was drafted in consultations with stakeholders that could share freely their opinion on the project, its results, and social impact.

<i>Risk Description</i>	<i>Impact and Probability (1-5)</i>	<i>Significance (Low, Moderate, High)</i>	<i>Comments</i>	<i>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.</i>
Principle 2: Gender Equality and Women's Empowerment	N/A	N/A	N/A	N/A
Principle 3: Environmental Sustainability:	N/A	N/A	N/A	N/A
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>
	<b>Low Risk</b>	<input checked="" type="checkbox"/>		The project activities have potential adverse social risks and impacts, that are limited in scale
	<b>Moderate Risk</b>	<input type="checkbox"/>		
	<b>High Risk</b>	<input type="checkbox"/>		
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>			
	<b>Check all that apply</b>			<b>Comments</b>
	<b>Principle 1: Human Rights</b>	<input checked="" type="checkbox"/>		<p>Ensure CS at all levels awareness and engagement in the APRM process and country review exercise as unique opportunity for CS to contribute for the benefit of the country. Sensitize government to accommodate and respond to CS concerns and aspirations.</p> <p>Ensure as much as possible that rights holders voices are captured in the thematic research and survey work to be conducted by the Project.</p> <p>Monitoring tools include capturing of disaggregated data including of the marginalized groups.</p> <p>Micro HACT assessment will be conducted to the IP. As part of risk mitigation, the Project plans to provide financial and technical capacities to ensure full project implementation and accountability</p>
	<b>Principle 2: Gender Equality and Women's Empowerment</b>	<input type="checkbox"/>		

<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>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.</b>
	<b>1. Biodiversity Conservation and Natural Resource Management</b>	<input type="checkbox"/>		N/A
	<b>2. Climate Change Mitigation and Adaptation</b>	<input type="checkbox"/>		N/A
	<b>3. Community Health, Safety and Working Conditions</b>	<input type="checkbox"/>		N/A
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>		N/A
	<b>5. Displacement and Resettlement</b>			N/A
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>		N/A
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>		N/A

### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
QA Assessor		Rodrigo Cina
QA Approver		Abdourahmane Dia
PAC Chair		Martim de Faria e Maya (UNDP chair of the PAC. In some cases, PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC)

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

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
<b>Principles 1: Human Rights</b>		
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?	Yes
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? <sup>1</sup>	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?	Yes
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	Yes
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
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
3.	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?  <i>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</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		

<sup>1</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

<b>Standard 1: Biodiversity Conservation and Sustainable <a href="#">Natural</a> Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?  <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No/NA
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/NA
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/NA
1.4	Would Project activities pose risks to endangered species?	No/NA
1.5	Would the Project pose a risk of introducing invasive alien species?	No/NA
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No/NA
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No/NA
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water?  <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No/NA
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No/NA
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No/NA
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?  <i>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.</i>	No/NA
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>2</sup> greenhouse gas emissions or may exacerbate climate change?	No/NA
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No/NA
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental <a href="#">vulnerability to climate change</a> now or in the future (also known as maladaptive practices)?  <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No/NA
<b>Standard 3: Community Health, Safety and Working Conditions</b>		

<sup>2</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]



3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No/NA
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)?	No/NA
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No/NA
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No/NA
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No/NA
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No/NA
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?	No/NA
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/NA
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/NA
<b>Standard 4: Cultural Heritage</b>		
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
<b>Standard 5: Displacement and Resettlement</b>		
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? <sup>3</sup>	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
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No

<sup>3</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

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 rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	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
6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	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
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
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 <a href="#">transboundary impacts</a> ?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	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?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	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

