



Annex VI (a)

Social and Environmental Screening Template

ANNEX VI(A). SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE

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

Project Information

Project Information	
1. Project Title	Safeguarding communities and their physical and economic assets from climate change induced disasters in Timor Leste
2. Project Number	5910
3. Location (Global/Region/Country)	Timor Leste

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 degree of geographic isolation/access to urban areas coupled with socio-economic conditions demonstrates that the majority of rural settlements in the country are highly vulnerable and susceptible to climate change induced risks. Timor Leste needs to safeguard communities and their social and economic assets from climate change induced disasters.

The project will ensure social equity and equality. The project will increase community resilience by providing strengthened community infrastructure, therefore enhancing the lives of vulnerable groups including those with disabilities, minority groups, youth and the elderly. Improved water supply will help reduce the incidence of disease, which has been noted to increase during droughts.

The project will help improve the governance and management of resources and infrastructure. Timor Leste use uses bottom-up approach in developing small-rural infrastructure programs ie projects are developed and submitted by Sucos. The project will mainstream climate change into the planning, design and construction process. Through the project capacities will be built in both government, private sector and communities. The project will foster empowerment of women.

A grievance redress mechanism has been outlined for the project. This gives multiple avenues for complaintants to provide feedback and seek redress.

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

In Timor Leste, women are often excluded from certain activities due to customary norms or lack of capital and ownership arrangements that confer all rights to men in the family. Women hold very few leadership positions within the districts. In cases where women do participate in local level planning, they are in the minority. An important aspect of gender mainstreaming in Timor Leste is therefore to increase involvement of women in formal and informal decision-making processes.

Gender equality is fundamental to the Project, which seeks equal participation, access and benefit of women and men from all project outcomes. Gender equality issues are incorporated into the design, planning, implementation, monitoring and evaluation of the Project.

In Timor Leste, rural populations are greatly exposed to a range of hazards, including flash floods, landslides, soil erosion, coastal flooding and drought due to unfavourable terrain, socio-economic factors and intensification of these climate-induced hazards over time. Disasters and related risks and vulnerabilities have social as well as physical dimensions. The impact of disasters and related risks are different for women and men. Shaped by gender roles and relations this is reflected in their differential capacity to respond to disaster. Gender inequality and women's disempowerment are the determining factors behind women and girls being disproportionately affected by climate change and disasters; and at the same time their 'skills and life experiences are not identified as resources, and, therefore, are not incorporated into risk reduction and disaster preparedness, relief or recovery efforts'. Unless these inequalities are adequately assessed and incorporated into climate change adaptation and DRR measures, the disparities are likely to be exacerbated. Eliminating gender gaps in rural communities is thus paramount to achieving productive rural communities in Timor Leste.

The project will foster the empowerment of women by providing opportunities to be heard, participate and lead. The agro-forestry component also provides opportunities for livelihood enhancement, which is particularly valuable to women.

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

An important element of environmental sustainability is having an enabling environment and to achieve this the project includes an institutional capacity building subcomponent, which aims at strengthening capacity at all levels: National, State, local government jurisdictions and community. The expected outcome will be human and infrastructural capacity built and enhanced sustainability across all components of the project, as a result of strengthened institutions, processes, and systems, and increased capacity of human, institutional and regulatory systems for climate-responsive planning and implementation.

Environmental and social sustainability will be further mainstreamed through the introduction of environmental impact assessment early in the design process. Each sub-project will have an EIA and community consultation as part of its detailed design.

The potential adverse impacts have been deemed to generally be localized to the project implementation sites and to be manageable with the implementation of the appropriate mitigation measures, therefore the project has been assessed as only having moderate environmental risk

(Category B), that is, limited in scale, identifiable with a reasonable degree of certainty, and are able to be addressed through appropriate mitigation measures. The project ESMF identifies potential risks and offers avoidance and/or mitigation measures to reduce impacts from the project.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>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.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>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)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</p>	<p>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.</p>
<p>Risk 1: ...There is potential that some duty-bearers do not have the capacity to meet their obligations in the Project</p>	<p>I = 2 P = 2</p>	<p>Low</p>	<p>Existing governance and coordination structures are in place and principally require strengthening and improved coordination/communication.</p>	<p>Capacity assessment is being done as part of the project and required capacity building and training to be provided. Awareness raising and technical capacity building for both officials and communities will be undertaken to ensure that design and implementation of project interventions are based on sound understanding of climate risks and adaptation measures.</p>
<p>Risk 2 Project has potential cause adverse impacts to habitats (primarily as a result of construction activities).</p>	<p>I = 2 P = 3</p>	<p>Moderate</p>	<p>Sub-projects involve construction activities and all construction activities have some risk attached to them. Activities may require</p>	<p>Proposed activities are based on, and will replicate methods and activities, proven approaches towards achieving climate resilience and ecosystem/catchment restoration that have minimal negative impacts on the natural environment.</p>

			minor clearing and also earthworks.	All efforts will be undertaken to reduce the environmental impacts of such work, e.g. work will be undertaken during the dry season and in such a way as to reduce erosion. In addition, site-specific planning will be undertaken prior to implementation to ensure that any potential negative environmental consequences are identified and appropriate measures undertaken to prevent such impacts as far as possible. ESMF contains requirements for minimisation of habitat disturbance and damage.
Risk 3: Project involves harvesting agro-forestry.	I = 2 P = 3	Moderate	Agro-forestry activities can have potential negative impacts if poorly planned and managed eg if incorrect species are used, over-harvesting occurs, if soil erosion is not managed, if natural areas are cleared for agro-forestry purposes. However, potential benefits also exist both in terms of social capital (livelihoods) and eco-system services/catchment management.	Project will introduce agro-forestry to degraded areas thereby enhancing environment rather than damaging. Areas selected will undergo site specific environmental assessments prior to commencement. Capacity building of communities to improve catchment management and ensure sustainable exploitation of agro-forestry areas. Women, who are particularly vulnerable to climate change and food shortages, will benefit from agro-forestry interventions. ESMF contains recommendations regarding selection of species and management of weeds. Sediment and erosion control plans are also specified.
Risk 4:The outcomes (infrastructure) of the Project could be sensitive or vulnerable to potential impacts of climate change	I = 3 P = 1	Low	130 infrastructure sub-projects are proposed. These are in areas that are particularly vulnerable to climate change and therefore there is some risk.	Engineering feasibility studies, environmental impact assessment, economic assessment and improved understanding of socio-economic settings will assist in building climate resilience into infrastructure. Capacity building, both technical, governance and operational, will be provided to government and communities.

				Designs and operating regimes will minimise risk by accounting for likely conditions.
Risk 5: Some elements of the Project pose potential safety risks to local communities, in particular construction activities.	I = 3 P = 2	Moderate	The project involves construction and all construction carries some risk.	ESMF dictates that appropriate health and safety standards be maintained eg training and PPE is to be provided, communities safeguarded. Mitigation measures for public nuisances such as noise, vibration and air quality are also covered in the ESMF.
Risk 6: There is some risk that failure of structural elements of the Project could communities (e.g. collapse of road, bridge or flood infrastructure	I = 4 P = 1	Low	Sub-projects are all relatively small scale, which reduces risk.	Project includes review of infrastructure standards and guidelines to ensure appropriateness. Designs will be undertaken by qualified engineers and constructors will be pre-qualified to improve quality of delivery. Climate resilience will be built into planning and design. Tried and tested technologies (low risk) are to be used.
Risk 7: The proposed Project could be susceptible to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions	I = 3 P = 2	Moderate	Timor Leste experiences extreme events	Purpose of project is to make infrastructure and communities more resilient to extreme events. Infrastructure planning, design and construction will be improved to incorporate climate resilience making it less prone to adverse impacts of extreme events. So, while risk cannot be totally eliminated, project will result in improvement over current situation.
Risk 8: 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	I = 3 P = 2	Moderate	As already noted, project involves construction of public infrastructure, therefore there is always some risk of either workers or public being injured by accident.	Construction and operation health and safety plans will be required. Training and provision of safety equipment. Prequalification of contractors, including consideration of environmental and safety records will be undertaken.
Risk 9: There are indigenous peoples present in the Project area (including Project area of influence	I = 3 P = 1	Low	Most of population of Timor Leste can be considered indigenous.	ESMF includes outline for a social inclusion plan/indigenous people plan. Projects have been selected by villagers themselves at suco level and then forwarded to government via a well defined process.

				Assessment of each sub-project and landowner sign off is required prior to any construction. ESMF outlines a grievance redress mechanism and communities can also approach Timor Leste Obudsman.
Risk 10: There is the potential for the release of pollutants to the environment due to routine or non-routine circumstances.	I = 3 P = 1	Low	Risk is primarily associated with construction phase. With the use of heavy machinery there is the potential for fuel/oil spills. Also emissions from vehicles are unavoidable, but can be minimised.	ESMF contains guidance for the reduction and management of pollution.
Risk 11: Project has the potential to generate waste	I = 2 P = 2	Low	Waste generation would be confined principally to the construction phase and would generally be minor, however some waste by-products can be expected from the agro-forestry component. Agro-forestry waste will generally be organic in nature and be able to be beneficially used eg as compost.	ESMF contains some waste guidance. Mitigation measures would include application of the waste heirachy: reduce, reuse, recycle.
QUESTION 4: What is the overall Project risk categorization?				
Select one (see SESP for guidance)			Comments	
<i>Low Risk</i>			<input type="checkbox"/>	
<i>Moderate Risk</i>			<input checked="" type="checkbox"/>	
			If the appropriate mitigation measures are put in place during the project, the project will have a low	

			to moderate risk of impacts over the short to medium term.
	High Risk	<input type="checkbox"/>	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
	Check all that apply		Comments
	Principle 1: Human Rights	X	
	Principle 2: Gender Equality and Women's Empowerment	X	The participation of women and youth in project activities/interventions is a focus in the project. This is to ensure that they are also empowered to make decisions and also benefit as a result of project interventions.
	Principle 3: Environmental Sustainability	<input type="checkbox"/>	
	1. Biodiversity Conservation and Natural Resource Management	X	The project will have an overall benefit on biodiversity. Biodiversity will be enhanced through rehabilitation of degraded land and bioengineering aimed at catchment restoration.
	2. Climate Change Mitigation and Adaptation	<input type="checkbox"/>	
	3. Community Health, Safety and Working Conditions	X	The project involves construction, which always carries some risks. Implementation of appropriate safety plans and engagement with community, along with management of elements such as dust, noise and waste will minimise risks to communities.
	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
 Ketu Chachibaia Regional Technical Specialist QA Assessor	25 March 2017	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.
 Claudio Providas UNDP Country Director QA Approver	27 March 2017	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.
 Claudio Providas UNDP Country Director PAC Chair	30 March 2017	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.

Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
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? ¹	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?	Yes
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? <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
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		

¹ 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.

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	<p>Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?</p> <p><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>	Yes
1.2	<p>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?</p>	No
1.3	<p>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)</p>	No
1.4	<p>Would Project activities pose risks to endangered species?</p>	No
1.5	<p>Would the Project pose a risk of introducing invasive alien species?</p>	No
1.6	<p>Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>	Yes
1.7	<p>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>	No
1.8	<p>Does the Project involve significant extraction, diversion or containment of surface or ground water?</p> <p><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>	No
1.9	<p>Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>	No
1.10	<p>Would the Project generate potential adverse transboundary or global environmental concerns?</p>	No
1.11	<p>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?</p> <p><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></p>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	<p>Will the proposed Project result in significant² greenhouse gas emissions or may exacerbate climate change?</p>	No
2.2	<p>Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</p>	Yes

² In regards to CO₂, '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.]

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)? <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
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)?	No
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)	Yes
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	Yes
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
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? ³	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)?	Yes
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	<p>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)?</p> <p><i>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.</i></p>	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 transboundary impacts?	Yes
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	Yes

³ 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.

7.3	<p>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?</p> <p><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></p>	No
7.4	<p>Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?</p>	No
7.5	<p>Does the Project include activities that require significant consumption of raw materials, energy, and/or water?</p>	No