
ANNEX 2: SOCIAL AND ENVIRONMENTAL SCREENING REPORT

Project Information

Project Information	
1. Project Title	Supporting Viet Nam towards the 2030 integrated Finance Strategy for accelerating the achievement of the SDGs (INFF)
2. Project Number (i.e. Atlas project ID, PIMS+)	00121202
3. Location (Global/Region/Country)	Viet Nam
4. Project stage (Design or Implementation)	Design
5. Date	June 2021

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

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

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

The project will positively and directly impact the achievement of SDG 17 by supporting the mobilization of finance through a variety of sources, promoting policy coherence and facilitating effective public and public-private partnerships. Additionally, this project will positively and directly impact SDG 8 through the creation of decent jobs, entrepreneurship and innovation, as well as supporting Viet Nam's transition to a low-carbon economy. It is also expected that by strengthening the alignment of the 2030 Finance Strategy with SEDS the project will have a positive impact on all the remaining SDGs.

Through such mechanism, this project will mainstream the human rights-based approach by ensuring equal opportunities for everyone, through accelerating finance for development. The project will ensure that the full potential of all citizens is promoted and that they participate in development and benefit equitably from the results of development; and build a Vietnamese society that is peaceful, prosperous, inclusive, democratic, just, civilized and sustainable.

<i>Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment</i>
<p>Almost 30 percent of the project budget has been allocated to generate gender-sensitive results, including for (i) ensuring that development finance is allocated to tackling gender equality issues in the 2030 Finance Strategy; (ii) mainstreaming gender in the planning and budget cycle across sectors and levels of Government and ensuring that planning and budgeting will be gender-responsive; and (iii) identifying specific ways to target women-led private SMEs and ensuring finance is made available for their growth and transformation. This proposed gender responsive budget will make gender equality and women's empowerment more visible in supporting Viet Nam to develop and roll out the 2030 integrated Finance Strategy, midterm investment and expenditure frameworks for achieving SDGs.</p>
<i>Briefly describe in the space below how the project mainstreams sustainability and resilience</i>
<p>This project will strengthen INFF in Viet Nam, then in turn foster better alignment between development finance, the SEDS and the SDGs, whilst supporting the mobilization of additional resources to impact SDG 17. With appropriate and strong governance structures, over time the mobilization of additional resources could strengthen domestic resource mobilization (DRM) more generally. If realized, these shifts will lead to greater economic resilience as Viet Nam becomes more self-sufficient and is better able to withstand shocks and crises. The improved alignment, DRM and economic resilience should accelerate the achievement of the SDGs that are national priorities such as green growth, climate resilience, and leaving no one behind (poverty, equality, inclusive growth).</p>
<i>Briefly describe in the space below how the project strengthens accountability to stakeholders</i>
<p>Under Output 1.2 of this project, a monitoring and accountability mechanism will be developed to assess effectiveness of development finance policy instruments. Technical assistance will focus on developing a system for monitoring outcomes and accountability. UNDP, with the assistance of UNEP will provide tools for tracking and monitoring, establishing baseline data and providing training and advocacy on priority areas. This will ensure that the work on the alignment of finance and development priorities is captured in investment and budgetary plans and monitoring and accountability roles are supported by robust systems and devolved to the appropriate entities for reporting and follow-up. The project will use existing research and expertise to inform Standard Operating Procedures for an integrated public investment management e-system.</p>

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Complete SESP Attachment 1 before responding to Question 2.</i>		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 5</i>		QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description (broken down by event, cause, impact)	Impact and Likelihood (1-5)	Significance (Low, Moderate, Substantial, High)	Comments (optional)	Description of assessment and management measures for risks rated as Moderate, Substantial or High
Risk 1: Insufficient uptake of opportunities for green growth and human resource development for crowding-in.	I = 3 L = 1	Moderate	The likelihood and impact of the risk of insufficient uptake of opportunities to crowd-in private finance towards green growth and human resource development are assessed as rare (1) and moderate impact (3), based on the Government of Viet Nam's strong	Mitigation actions include continued UN advocacy and engagement of relevant stakeholders especially from the National Assembly Social Affairs Commission, education and health ministries in policy dialogues.

			commitment for the SDGs, green growth and human resource development (which is among 3 breakthroughs areas of the country's Socio-Economic Development Strategy).	
Risk 2: low quality of engagement & coordination of different departments of MPI, MOF, VCCI, PUNOs, IFIs, other development partners	I = 2 L = 1	Moderate		The mitigating action is that MPI/DSENRE and the RC delivers their functions actively, creating cooperation mechanisms at working/technical levels (building on existing mechanisms, such as Development Partner Group that is co-chaired by the UNRC, WB and Development Partner representatives).
Risk 3: limited opportunity for greater institutional integration	I = 4 L = 1	Moderate	The risk of the limited opportunity for greater institutional integration is assessed as rare (1) in term of likelihood, based on the government's commitment to SDG and INFF implementation as well as the vigorous national oversight system. If this happens the impact on the JP's results in promoting alignment of finance to national	The mitigating actions include: (i) regular monitoring and oversight by the MPI/DSENRE and the RC, (ii) establishing the multi-stakeholder platform and engaging different stakeholders, especially from the National Assembly, private sector and PSPMOs in the JP-supported dialogues.




			priorities, integration across the government and financial resources is major (4).		
	QUESTION 4: What is the overall project risk categorization?				
	Low Risk	<input checked="" type="checkbox"/>	No further social and environmental assessment is required. The SES Programming Principles still apply and, whereas measures to strengthen human rights and gender quality as well as stakeholder engagements and consultations are incorporated into the project design. If stakeholders raise concerns regarding the project's social and environmental aspects, the Low Risk designation will be carefully reviewed (e.g. serious objections will warrant a re-categorization).		
	Moderate Risk	<input type="checkbox"/>			
	Substantial Risk	<input type="checkbox"/>			
	High Risk	<input type="checkbox"/>			
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
	Question only required for Moderate, Substantial and High Risk projects				
	<u>Is assessment required? (check if "yes")</u>				Status? (completed, planned)
	<i>if yes, indicate overall type and status</i>		<input type="checkbox"/>	Targeted assessment(s)	Planned
			<input type="checkbox"/>	ESIA (Environmental and Social Impact Assessment)	

		<input type="checkbox"/>	SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes")			
	<i>If yes, indicate overall type</i>	<input type="checkbox"/>	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	Planned
<input type="checkbox"/>		ESMP (Environmental and Social Management Plan which may include range of targeted plans)		
<input type="checkbox"/>		ESMF (Environmental and Social Management Framework)		
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		Comments (not required)	
	Overarching Principle: Leave No One Behind			
	Human Rights	<input type="checkbox"/>		
	Gender Equality and Women's Empowerment	<input type="checkbox"/>		
	Accountability	<input type="checkbox"/>		
	1. Biodiversity Conservation and Sustainable Natural Resource Management	<input type="checkbox"/>		
	2. Climate Change and Disaster Risks	<input type="checkbox"/>		

	3. Community Health, Safety and Security	<input type="checkbox"/>	
	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Labour and Working Conditions	<input type="checkbox"/>	
	8. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

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

Signature	Date	Description
QA Assessor 	25 May 2021	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 	25 May 2021	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.
PAC Chair 	25 May 2021	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	
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.	
Overarching Principle: Leave No One Behind Human Rights	Answer (Yes/No)
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?	No
P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
<i>Would the project potentially involve or lead to:</i>	
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? ¹	No
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women's Empowerment	
P.8 Have women's groups/leaders raised gender equality concerns regarding the	No

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

project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	
<i>Would the project potentially involve or lead to:</i>	
P.9 adverse impacts on gender equality and/or the situation of women and girls?	No
P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
P.11 limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <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
P.12 exacerbation of risks of gender-based violence? <i>For example, through the influx of workers to a community, changes in community and household No power dynamics, increased exposure to unsafe public places and/or transport, etc.</i>	No
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below	
Accountability	
<i>Would the project potentially involve or lead to:</i>	
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?	No
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
Project-Level Standards	
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
<i>Would the project potentially involve or lead to:</i>	
1.1 adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>		
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	No
1.7	adverse impacts on soils?	No
1.8	harvesting of natural forests, plantation development, or reforestation?	No
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11	significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.12	handling or utilization of genetically modified organisms/living modified organisms? ²	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development) ³	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
<i>Would the project potentially involve or lead to:</i>		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	No
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? <i>For example, through increased precipitation, drought, temperature, salinity,</i>	No

² See the [Convention on Biological Diversity](#) and its [Cartagena Protocol on Biosafety](#).

³ See the [Convention on Biological Diversity](#) and its [Nagoya Protocol](#) on access and benefit sharing from use of genetic resources.

<i>extreme events, earthquakes</i>		
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? <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
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
<i>Would the project potentially involve or lead to:</i>		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	No
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	No
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
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		
<i>Would the project potentially involve or lead to:</i>		
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,	No

innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	
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	
<i>Would the project potentially involve or lead to:</i>	
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? ⁴	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	
<i>Would the project potentially involve or lead to:</i>	
6.1 areas where indigenous peoples are present (including project area of influence)?	No
6.2 activities located on lands and territories claimed by indigenous peoples?	No
6.3 impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to screening question 6.3 is “yes”, then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk</i>	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	No

⁴ Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

	concerned?	
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? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 5 above</i>	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? <i>Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.</i>	No
Standard 7: Labour and Working Conditions		
<i>Would the project potentially involve or lead to: (note: applies to project and contractor workers)</i>		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	No
Standard 8: Pollution Prevention and Resource Efficiency		
<i>Would the project potentially involve or lead to:</i>		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
8.2	the generation of waste (both hazardous and non-hazardous)?	No

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