

UNDP Environmental and Social Screening Template (December 2012)

QUESTION 1:

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Select answer below and follow instructions:

☒ →NO: Continue to Question 2 (do not fill out Table 1.1)

☐ →YES: No further environmental and social review is required if the existing documentation meets UNDP's quality assurance standards, and environmental and social management recommendations are integrated into the project. Therefore, you should undertake the following steps to complete the screening process:

1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the Project Developer and other relevant Focal Points in the office or Bureau).
2. Ensure that the Project Document incorporates the recommendations made in the implementing partner's environmental and social review.
3. Summarize the relevant information contained in the implementing partner's environmental and social review in Annex A.2 of this Screening Template, selecting Category 1.
4. Submit Annex A to the PAC, along with other relevant documentation.

Note: Further guidance on the use of national systems for environmental and social assessment can be found in the UNDP ESSP Annex B.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL ASSESSMENT	Yes/No
1. Does the assessment/review meet its terms of reference, both procedurally and substantively?	
2. Does the assessment/review provide a satisfactory assessment of the proposed project?	
3. Does the assessment/review contain the information required for decision-making?	
4. Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures)?	
5. Does the assessment/review identify capacity needs of the institutions responsible for implementing environmental and social management issues?	
6. Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	
7. Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	

Table 1.1 (continued) For any “no” answers, describe below how the issue has been or will be resolved (e.g. amendments made or supplemental review conducted).

QUESTION 2:

Do all outputs and activities described in the Project Document fall within the following categories?

- ☐ Procurement (in which case UNDP's [Procurement Ethics](#) and [Environmental Procurement Guide](#) need to be complied with)
- ☐ Report preparation
- ☐ Training
- ☐ Event/workshop/meeting/conference (refer to [Green Meeting Guide](#))
- ☐ Communication and dissemination of results

Select answer below and follow instructions:

- ☒ **NO** → Continue to Question 3
- ☐ **YES** → No further environmental and social review required. Complete Annex A.2, selecting Category 1, and submit the completed template (Annex A) to the PAC.

QUESTION 3:

Does the proposed project include activities and outputs that support *upstream* planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)? (Note that *upstream* planning processes can occur at global, regional, national, local and sectoral levels)

Select the appropriate answer and follow instructions:

- ☐ **NO** → Continue to Question 4.
- ☒ **YES** → Conduct the following steps to complete the screening process:
1. Adjust the project design as needed to incorporate UNDP support to the country(ies), to ensure that environmental and social issues are appropriately considered during the upstream planning process. Refer to Section 7 of this Guidance for elaboration of environmental and social mainstreaming services, tools, guidance and approaches that may be used.
 2. Summarize environmental and social mainstreaming support in Annex A.2, Section C of the Screening Template and select "Category 2".
 3. If the proposed project ONLY includes upstream planning processes then screening is complete, and you should submit the completed Environmental and Social Screening Template (Annex A) to the PAC. If downstream implementation activities are also included in the project then continue to Question 4.

TABLE 3.1	EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS	Check appropriate box(es) below
1.	Support for the elaboration or revision of global-level strategies, policies, plans, and programmes. <i>For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.</i>	
2.	Support for the elaboration or revision of regional-level strategies, policies and plans, and programmes. <i>For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).</i>	X
3.	Support for the elaboration or revision of national-level strategies, policies, plans and programmes. <i>For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.</i>	X
4.	Support for the elaboration or revision of sub-national/local-level strategies, policies, plans and programmes. <i>For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and methods, stakeholder engagement.</i>	X

QUESTION 4:

Does the proposed project include the implementation of *downstream* activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?

To answer this question, you should first complete Table 4.1 by selecting appropriate answers. If you answer “No” or “Not Applicable” to all questions in Table 4.1 then the answer to Question 4 is “NO.” If you answer “Yes” to any questions in Table 4.1 (even one “Yes” can indicate a significant issue that needs to be addressed through further review and management) then the answer to Question 4 is “YES”:

☐ **NO** → No further environmental and social review and management required for downstream activities. Complete Annex A.2 by selecting “Category 1”, and submit the Environmental and Social Screening Template to the PAC.

☒ **YES** → Conduct the following steps to complete the screening process:

1. Consult Section 8 of this Guidance, to determine the extent of further environmental and social review and management that might be required for the project.
2. Revise the Project Document to incorporate environmental and social management measures. Where further environmental and social review and management activity cannot be undertaken prior to the PAC, a plan for undertaking such review and management activity within an acceptable period of time, post-PAC approval (e.g. as the first phase of the project) should be outlined in Annex A.2.
3. Select “Category 3” in Annex A.2, and submit the completed Environmental and Social Screening Template (Annex A) and relevant documentation to the PAC.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT

1. Biodiversity and Natural Resources	Answer (Yes/No/ Not Applicable)
1.1 Would the proposed project result in the conversion or degradation of modified habitat , natural habitat or critical habitat ?	YES
1.2 Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?	NO
1.3 Would the proposed project pose a risk of introducing invasive alien species?	NO
1.4 Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management (e.g. <i>PEFC</i> , <i>the Forest Stewardship Council certification systems</i> , or <i>processes established or accepted by the relevant National Environmental Authority</i>)?	NO
1.5 Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (e.g. <i>the Marine Stewardship Council certification system</i> , or <i>certifications, standards, or processes established or accepted by the relevant National Environmental Authority</i>)?	YES
1.6 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</i>	NO

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
<i>extraction.</i>	
1.7 Does the project pose a risk of degrading soils?	
2. Pollution	Answer (Yes/No/ Not Applicable)
2.1 Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?	NO
2.2 Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	NO
2.3 Will the proposed project involve the manufacture, trade, release, and/or use of chemicals and hazardous materials subject to international action bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants, or the Montreal Protocol.</i>	NO
2.4 Is there a potential for the release, in the environment, of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	NO
2.5 Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health?	NO
3. Climate Change	
3.1 Will the proposed project result in significant ¹ greenhouse gas emissions? <i>Annex E provides additional guidance for answering this question.</i>	NO
3.2 Is the proposed project likely to directly or indirectly increase environmental and social vulnerability to climate change now or in the future (also known as maladaptive practices)? You can refer to the additional guidance in Annex C to help you answer this question. <i>For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population's vulnerability to climate change, specifically flooding.</i>	NO
4. Social Equity and Equality	Answer (Yes/No/ Not Applicable)
4.1 Would the proposed project have environmental and social impacts that could affect indigenous people or other vulnerable groups?	NO
4.2 Is the project likely to significantly impact gender equality and women's empowerment ² ?	YES
4.3 Is the proposed project likely to directly or indirectly increase social inequalities now or in	NO

¹ Significant corresponds to CO₂ emissions greater than 100,000 tons per year (from both direct and indirect sources). Annex E provides additional guidance on calculating potential amounts of CO₂ emissions.

² Women are often more vulnerable than men to environmental degradation and resource scarcity. They typically have weaker and insecure rights to the resources they manage (especially land), and spend longer hours on collection of water, firewood, etc. (OECD, 2006). Women are also more often excluded from other social, economic, and political development processes.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
the future?	
4.4 Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?	NO
4.5 Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process?	NO
4.6 Will the project have specific human rights implications for vulnerable groups?	NO
5. Demographics	
5.1 Is the project likely to result in a substantial influx of people into the affected community(ies)?	NO
5.2 Would the proposed project result in substantial voluntary or involuntary resettlement of populations? <i>For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.</i>	NO
5.3 Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project? <i>For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and social impacts (e.g. destruction of the area's ecology, noise pollution, waste management problems, greater work burden on women).</i>	NO
1. Culture	
6.1 Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?	YES
6.2 Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognized cultural claims?	NO
6.3 Would the proposed project produce a physical "splintering" of a community? <i>For example, through the construction of a road, powerline, or dam that divides a community.</i>	NO
2. Health and Safety	
7.1 Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? <i>For example, development projects located within a floodplain or landslide prone area.</i>	YES
7.2 Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection?	NO
7.3 Will the proposed project require additional health services including testing?	NO
3. Socio-Economics	
8.1 Is the proposed project likely to have impacts that could affect women's and men's ability to use, develop and protect natural resources and other natural capital assets? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?</i>	YES

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT		
8.2	Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	NO
8.3	Is the proposed project likely to negatively affect the income levels or employment opportunities of vulnerable groups?	NO
9.	Cumulative and/or Secondary Impacts	Answer (Yes/No/ Not Applicable)
9.1	Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project? <i>For example, future plans for urban growth, industrial development, transportation infrastructure, etc.</i>	NO
9.2	Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed “secondary” or “consequential” impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.</i>	NO

ANNEX A.2: ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY

(to be filled in after Annex A.1 has been completed)

Name of Proposed Project:

A. Environmental and Social Screening Outcome

Select from the following:

☐ Category 1. No further action is needed

☐ Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.

☒ Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:

☒ Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b).

☐ Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate.

B. Environmental and Social Issues (for projects requiring further environmental and social review and management)

In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. You should use the answers you provided in Table 4.1 as the basis for this summary, as well as any further review and management that is conducted.

The project seeks facilitating EBM/EAF in the CLME+ for the sustainable and climate resilient provision of goods and services from shared living marine resources. The proposal puts a strong focus on integrating the approaches for the management of fisheries with those for the protection of the marine environment. This focus on integration, and having the Caribbean and North Brazil Shelf LMEs as the overarching geographic scope for the SAP, will ensure that the GEF-cofunded SAP implementation project (the "CLME+ Project") will be uniquely positioned among all projects and initiatives in the region to initiate and catalyze this process in a structured, integrated way.

The proposed new GEF project is consistent with and supportive of the six approved strategies of the CLME+ SAP. At the overarching, LME level, the 3 main strategies are: (S1) Enhance the regional governance arrangements for the protection of the marine environment; (S2) Enhance the regional governance arrangements for sustainable fisheries; and (S3) Establish and operationalise a regional policy coordination mechanism for ocean governance with an initial focus on shared living marine resources. Building further upon the existing baseline activities, the SAP will implement 3 additional strategies to facilitate EBM/EAF in the CLME+'s three marine ecosystem types that support the region's most important fisheries and biodiversity: (S4) Enhance the governance arrangements for ecosystem-based management of reefs and associated ecosystems (e.g. seagrass beds, mangroves, reef slopes and coastal lagoons); (S5) Enhance the governance arrangements for implementing an ecosystem approach for pelagic fisheries; and, (S6) Implementing EBM/EAF of the Guianas-Brazil continental shelf with special reference to the shrimp and groundfish fisheries.

1.1 Would the proposed project result in the conversion or degradation of modified habitat, natural habitat or critical habitat?

Yes. The project will pilot habitat restoration in the coastal and marine zone of at least 5 participating countries. It is expected that project helps rehabilitation of coral reefs and reforestation of mangroves, which will result in the conversion of modified ecosystems to more improved habitat in coastal waters simultaneously addressing threats of climatic variability to international waters and helping communities adapt to future climate change.

1.5 Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (e.g. the Marine Stewardship Council certification system, or certifications, standards or processes established or accepted by the relevant National Environmental Authority)?

Yes. While the project will involve some fisheries which are not yet certified, it is expected that at the end of the project there will be improved EBM/EAF by agreeing and implementing appropriate institutional, governance and management arrangements that will enhance the protection of biodiversity, enable the recovery of sustainable fisheries and strengthen the livelihoods of the population dependent on the CLME+ resources. Specifically, the project will implement three strategies to facilitate EBM/EAF in the CLME+'s three marine ecosystem types that support the region's most important fisheries and biodiversity: (S4) Enhance the governance arrangements for ecosystem-based management of reefs and associated ecosystems (e.g. seagrass beds, mangroves, reef slopes and coastal lagoons); (S5) Enhance the governance arrangements for implementing an ecosystem approach for pelagic fisheries; and, (S6) Implementing EBM/EAF of the Guianas-Brazil continental shelf with special reference to the shrimp and groundfish fisheries. Therefore the proposal puts a strong focus on integrating the approaches for the management of fisheries with those for the protection of the marine environment.

4.2 Is the project likely to significantly impact gender equality and women's empowerment ?

Project will be piloting full implementation of enhanced Ecosystem Based Management and Ecosystem Approach to Fisheries actions in the field through a representative series of activities that will spread across the thematic and geographic range of the CLME+ SAP which will help to demonstrate and further foster the critical, but usually undocumented or insufficiently supported, role of women in the fisheries sector and environmental management at the community level.

6.1 Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?

As indicated in 4.2 it is expected that the project has a positive impact on women's participation and enable them to play increasing roles on managing ecosystems. Since most of the communities which will be working with the project rely on goods and services provided by mangrove and coral reef ecosystems, it is expected that project activities will not affect cultural traditions but provide the opportunity to enhance sustainable livelihoods based on the sustainable management of biodiversity and ecosystems.

7.1 Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? For example, development projects located within a floodplain or landslide prone area.

Yes. The project is susceptible to climate change but will not lead to increased vulnerability. Contrary to this, climate change adaptation considerations will be mainstreamed throughout all project outputs, and therefore project will contribute to increase resilience and adaptation to climate change.

8.1 Is the proposed project likely to have impacts that could affect women's and men's ability to use, develop and protect natural resources and other natural capital assets? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?

Yes. The project seeks positive impacts on women's and men's ability to use, develop and protect natural resources and other natural capital assets. Activities under Component 3 are designed to enhance these abilities through piloting the implementation of EBM/EAF and replication of best practices on improved/alternative livelihoods.

C. Next Steps (for projects requiring further environmental and social review and management):

In this section, you should summarize actions that will be taken to deal with the above-listed issues. If your project has Category 2 or 3 components, then appropriate next steps will likely involve further environmental and social review and management, and the outcomes of this work should also be summarized here. Relevant guidance should be obtained from Section 7 for Category 2, and Section 8 for Category 3.

SOCIAL-ECONOMIC: to maximize social-economic benefits pursued by the project (i.e. enhanced sustainable livelihoods, women's empowerment), during the more detailed design of innovative and scalable interventions it is recommended that a local stakeholder's and gender participation strategy is developed, with special emphasis on communities who rely on coastal and marine ecosystems (e.g. mangroves and coral reefs). It is also recommended that experiences from the SGP on protecting international waters through community-based actions be also considered, particularly those on integrated coastal management and adaptive management.

ENVIRONMENT: the project will contribute to the maintenance and/or restoration of the capacity of the pelagic, continental shelf, reefs and associated ecosystems to provide goods and services in support of sustainable human development and wellbeing, including through the conservation and sustainable use of biodiversity. To ensure these benefits it is recommended that project strategies on sustainable fisheries are mutually reinforcing with the proposed actions on conservation of coastal and marine ecosystems at regional, national and local level. While the project will involve some fisheries which are not yet certified, complying with national environmental authorities' standards for sustainable fisheries should be fostered, and South-South certification processes could be explored.

D. Sign Off

Project Manager **JOSE VICENTE TROYA**

Date 09/08-2013

PAC

Date

Programme Manager

Date _____